

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) McConnell Jr, John J.	2. Court or Organization District of Rhode Island	3. Date of Report 05/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States District Court District of Rhode Island One Exchange Terrace Providence, RI 02903		
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 pp. 9-13 of filing instructions.)

☐ **NONE** (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Officer and Board Member	Crossroads RI
2. Member	Marthas Vineyard Colonial Inn LLC
3. Board Member	Institute for the Study & Practice of NonViolence
4. Board Member	Trinity Repertory Company
5. Custodian	Alliance Capital 529 College Fund #2
6. Trustee	Family Trust #1
7. Trustee	Family Trust #2
8. Board Member	Downtown Providence Parks Conservancy
9. Chair, Selection Committee	Hassenfeld Family Foundation, RI Public Interest Service Fellowship
10. Board Member	Women's Center of Rhode Island
11. Board Member	Federal Judges' Association

FINANCIAL DISCLOSURE REPORT

Page 2 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☐

NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

1. 1/30/2003	Ness Motley, P.A. (n/k/a MRRM, P.A.) Employment and Compensation Agreement (see Section VIII for further details)
--------------	---

2. 5/13/2011	Assignment of Certain Rights in MRRM, P.A. (see Section VIII for further details)
--------------	---

3. 5/13/2011	Assignment of Membership Interests in Motely Rice LLC and Mutual Release (see Section VIII for further details)
--------------	---

FINANCIAL DISCLOSURE REPORT

Page 3 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 12/31/2015	Deferred Compensation, MRRM PA	\$2,462,400.00
2. 12/31/2015	Rental Income, Charlestown, RI	\$46,842.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 4 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	American Express	Credit Card	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)

1. Brokerage Account #1 (H)									
2. --Wells Fargo Money Fund	A	Interest	M	T					
3. --Allergan(Fka Actavis) merger 6-15-15		None	K	T					
4. --Affiliated Managers Group			K	T	Buy	04/06/15	J		
5.				T	Buy (add'l)	04/23/15	J		
6.				T	Buy (add'l)	06/30/15	J		
7.				T	Buy (add'l)	10/29/15	K		
8.				T	Sold (part)	12/17/15	K		
9. --Altera Corp	A	Dividend			Sold (part)	06/30/15	K	E	
10.					Sold	12/28/15	K	E	
11. --Apple Inc	A	Dividend	K	T					
12. --Applied Materials Inc	A	Dividend	K	T					
13. --CBOE Holdings Inc	A	Dividend	K	T	Buy	05/18/15	J		
14. --Celgene Corp		None	K	T					
15. --CME Group	B	Dividend	K	T					
16. --EMC Corp Mass	A	Dividend			Sold (part)	04/23/15	J	A	
17.					Sold	10/29/15	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)

18. --Express Scripts Hldg Co		None	K	T					
19. --Fireeye Inc		None	J	T	Buy	10/29/15	J		
20.				T	Sold (part)	12/17/15	J		
21. --Global X	A	Dividend	J	T					
22. --Intel Corp	A	Dividend	K	T					
23. --Ishares TRMCI Emerging Mkts Index Fd	A	Dividend	K	T	Buy	12/17/15	K		
24. --Ishares Tr Russell 2000 Index Fd	A	Dividend	L	T					
25. --Johnson & Johnson	A	Dividend	K	T					
26. --Lattice Semiconductor Corp		None	J	T	Buy	06/04/15	J		
27. --Morgan Stanley	A	Dividend	J	T	Buy	05/18/15	K		
28. --NCR		None			Sold	10/29/15	J		
29. --NXP Semiconductors		None	J	T					
30. --Powershares Golden Dragon China	A	Dividend	J	T					
31. --Pricesmart Inc.		None	K	T	Buy	10/29/15	K		
32. --Proshares Trust ETF Short 20+ Yr Treasury		None			Buy	05/06/15	J		
33.					Sold	10/29/15	J		
34. --Qualcomm Inc	B	Dividend	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 7 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)

35. --SPDR Gold Trust	A	Dividend	J	T					
36. --SPDR S&P Biotech ET	A	Dividend	L	T					
37. --SPDR S&P China	A	Dividend			Sold	12/29/15	J		
38. --SPDR S&P Midcap 400 Trust Series N	B	Dividend	L	T					
39. --SPDR S&P 500 Trust	B	Dividend	L	T	Sold (part)	04/06/15	J	C	
40.				T	Sold (part)	04/23/15	K	D	
41.				T	Sold (part)	05/18/15	K	D	
42. --SPDR Ser Tr S&P 600 Small Cap	B	Dividend	L	T					
43. --Stryker Corp	A	Dividend	K	T					
44. --United Natural Foods Inc		None	J	T					
45. --Vanguard MSCI Emerging Markets	A	Dividend			Sold	12/17/15	K		
46. --Vanguard S&P 500	A	Dividend	K	T	Sold (part)	05/06/15	K	D	
47. --Walmart	A	Dividend			Sold	10/29/15	K		
48. --Whole Foods Market	A	Dividend	J	T	Sold (part)	12/17/15	J		
49. --Wisdomtree Investments	A	Dividend	J	T	Buy	09/03/15	J		
50. --Zimmer Holdings	A	Dividend	K	T					
51. --Xilinx Inc	C	Dividend	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
52.									
53. Family Trust #1 (H)									
54. --Wells Fargo Money Fund	A	Interest	M	T					
55. --Altera Corp	B	Dividend			Sold (part)	06/30/15	K	E	
56.					Sold	12/28/15	L	E	
57. --Allergan(Fka Actavis) merger 6-15-15		None	K	T					
58. --Affiliated Managers Group		None	K	T	Buy	04/06/15	J		
59.				T	Buy (add'l)	04/23/15	J		
60.				T	Buy (add'l)	06/30/15	J		
61.				T	Buy (add'l)	10/29/15	K		
62.				T	Sold (part)	12/17/15	K		
63. --Apple Inc	A	Dividend	K	T					
64. --Applied Materials Inc	A	Dividend	K	T					
65. --CBOE Holdings Inc	A	Dividend	K	T	Buy	05/18/15	J		
66. --Celgene Corp		None	K	T					
67. --CME Group	B	Dividend	K	T					
68. --EMC Corp Mass	A	Dividend			Sold (part)	04/23/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 9 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)

69.					Sold	10/29/15	J	A	
70. --Express Scripts Hldg Co		None	K	T					
71. --Fireeye Inc		None	J	T	Buy	05/22/15	J		
72.				T	Buy	10/29/15	J		
73.				T	Sold (part)	12/17/15	J		
74. --GlobalX	A	Dividend	J	T					
75. --Intel Corp	A	Dividend	K	T					
76. --ISHRS Russell 2000 Index	B	Dividend	M	T					
77. --Johnson & Johnson	A	Dividend	K	T					
78. --Lattice Semiconductor Corp		None	J	T	Buy	06/04/15	J		
79. --Morgan Stanley	A	Dividend	J	T	Buy	05/18/15	K		
80. --NCR		None			Sold	10/29/15	K		
81. --NXP Semiconductors		None	K	T					
82. --Powershares Golden Dragon China	A	Dividend	K	T					
83. --Pricesmart Inc		None	K	T	Buy	10/29/15	K		
84. --Proshares Trust Short 20+ Yr Treasury		None			Buy	05/06/15	K		
85.					Sold	10/29/15	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 10 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
86. --Qualcomm Inc	C	Dividend	M	T					
87. --SPDR Gold Trust	A	Dividend	J	T					
88. --SPDR S&P 500 Trust	B	Dividend	L	T	Sold (part)	04/06/15	J	C	
89.				T	Sold (part)	04/23/15	K	D	
90.				T	Sold (part)	05/18/15	K	D	
91.				T	Sold (part)	05/22/15	J	B	
92. --SPDR S&P Biotech	A	Dividend	L	T					
93. --SPDR S&P China	A	Dividend			Sold	12/29/15	J		
94. --SPDR S&P Midcap 400	A	Dividend	L	T					
95. --SPDR Ser Tr S&P 600 Small Cap	B	Dividend	L	T					
96. --Stryker	A	Dividend	K	T					
97. --United Natural Foods Inc		None			Sold	12/29/15	J		
98. --Vanguard MSCI Emerging Markets	A	Dividend			Sold	05/06/15	K	B	
99. --Vanguard S&P 500 ETF	B	Dividend	L	T					
100. --Walmart	A	Dividend			Sold	10/29/15	K		
101. --Whole Foods Market	A	Dividend	J	T	Buy	10/29/15	J		
102.				T	Sold (part)	12/17/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 11 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
103. --Wisdomtree Investments	A	Dividend	J	T	Buy	09/03/15	J		
104. --Zimmer Holdings	A	Dividend	K	T					
105. --Xilinx Inc	B	Dividend	L	T					
106.									
107. Family Trust #2 (H)									
108. --Wells Fargo Money Fund	A	Interest	N	T					
109. --Allergan (Fka Actavis) merger 6-15-15		None	M	T					
110. --Affiliated Managers Group		None	L	T	Buy	04/01/15	K		
111.				T	Buy (add'l)	04/22/15	K		
112.				T	Buy (add'l)	06/30/15	K		
113.				T	Buy (add'l)	10/29/15	L		
114.				T	Sold (part)	12/17/15	L		
115. --Altera Corp	C	Dividend			Sold (part)	06/30/15	M	F	
116.					Sold	12/28/15	M	F	
117. --Apple Inc	B	Dividend	M	T					
118. --Applied Materials Inc	B	Dividend	L	T					
119. --CBOE Holdings Inc	B	Dividend	M	T	Buy	03/30/15	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 12 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
120.				T	Buy	05/18/15	K		
121. --Celgene Corp		None	L	T	Buy	03/30/15	J		
122. --CME Group	D	Dividend	M	T					
123. --EMC Corp Mass	B	Dividend	M	T					
124. --Express Scripts Hldg Co		None	M	T					
125. --Fireeye Inc		None	K	T	Buy	03/30/15	J		
126.				T	Buy (add'l)	10/29/15	K		
127.				T	Buy (add'l)	11/30/15	K		
128.				T	Sold (part)	12/31/15	K		
129. --Global X	A	Dividend	K	T	Buy	03/30/15	K		
130.				T	Sold (part)	12/29/15	K		
131. --Intel Corp	C	Dividend	L	T					
132. --Ishares China	B	Dividend	L	T	Buy	12/17/15	L		
133. --ISHRS Russell 2000 Index	C	Dividend	M	T					
134. --Ishares TRMSCI Emerging Mkts Index Fd	A	Dividend	K	T	Buy	10/29/15	K		
135. --Johnson & Johnson	C	Dividend	M	T					
136. --Lattice Semiconductor Corp		None	L	T	Buy	06/04/15	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 13 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
137. --Morgan Stanley	B	Dividend	L	T	Buy	03/30/15	L		
138.				T	Buy (add'l)	05/18/15	K		
139.				T	Sold (part)	12/29/15	K		
140. --NCR		None			Sold	10/29/15	L		
141. --NXP Semiconductors		None	L	T					
142. --Powershares Golden Dragon China	A	Dividend	L	T	Buy	03/30/15	K		
143. --Pricesmart Inc		None	L	T	Buy	10/29/15	L		
144. --Proshares Trust Short 20+ Yr Treasury		None			Buy	05/04/15	K		
145.					Buy (add'l)	05/04/15	K		
146.					Sold	10/29/15	L		
147. --Qualcomm Inc	D	Dividend	N	T					
148. --SPDR Gold Trust	A	Dividend	K	T					
149. --SPDR S&P Biotech	B	Dividend	M	T					
150. --SPDR S&P China	B	Dividend			Buy	03/30/15	K		
151.					Sold	12/17/15	L		
152. --SPDR S&P Midcap 400	C	Dividend	M	T					
153. --SPDR S&P 500 Trust ETF	D	Dividend	N	T	Sold (part)	05/18/15	M	E	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 14 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
154. --SPDR Ser Tr S&P 600 Small Cap ETF	D	Dividend	M	T					
155. --Stryker	B	Dividend	M	T					
156. --United Natural Foods Inc		None	K	T	Buy	11/30/15	K		
157.				T	Sold (part)	12/31/15	K		
158. --Vanguard Mid Cap ETF	A	Dividend	L	T					
159. --Vanguard MSCI Eafe ETF	B	Dividend			Sold	10/29/15	L		
160. --Vanguard S&P 500 ETF	D	Dividend	M	T					
161. --Walmart	B	Dividend			Sold	10/29/15	L		
162. --Whole Foods Market	A	Dividend	K	T	Buy	10/29/15	K		
163.				T	Sold (part)	12/17/15	K		
164. --Wisdomtree Investments	A	Dividend	L	T	Buy	09/03/15	K		
165.				T	Buy (add'l)	12/29/15	K		
166. --Zimmer Holdings	A	Dividend	L	T					
167. --Xilinx Inc.	D	Dividend	N	T					
168.									
169. IRA #1 (H)									
170. --Wells Fargo Cash	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A --\$1,000 or less F --\$50,001 - \$100,000	B --\$1,001 - \$2,500 G --\$100,001 - \$1,000,000	C --\$2,501 - \$5,000 H1 --\$1,000,001 - \$5,000,000	D --\$5,001 - \$15,000 H2 --More than \$5,000,000	E --\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J --\$15,000 or less N --\$250,001 - \$500,000 P3 --\$25,000,001 - \$50,000,000	K --\$15,001 - \$50,000 O --\$500,001 - \$1,000,000	L --\$50,001 - \$100,000 P1 --\$1,000,001 - \$5,000,000 P4 --More than \$5,000,000	M --\$100,001 - \$250,000 P2 --\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q --Appraisal U --Book Value	R --Cost (Real Estate Only) V --Other	S --Assessment W --Estimated	T --Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 15 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
171. --Allergan(Fka Actavis) merger 6-15-15		None	J	T					
172. --Affiliated Managers Group		None	J	T	Buy	04/01/15	J		
173.				T	Buy (add'l)	04/22/15	J		
174.				T	Buy (add'l)	06/30/15	J		
175. --Apple Inc	A	Dividend	J	T					
176. --Applied Materials Inc	A	Dividend	J	T					
177. --CBOE Holdings Inc	A	Dividend	J	T					
178. --Celgene Corp		None	J	T					
179. --CME Group	A	Dividend	J	T					
180. --EMC Corp Mass	A	Dividend	J	T					
181. --ETFS Platinum Trust Shs Ben Int ETF		None	J	T					
182. --Express Scripts Hldg Co		None	J	T					
183. --Fireeye Inc		None	J	T					
184. --Global X Funds ET	A	Dividend	J	T					
185. --Intel Corp	A	Dividend	J	T					
186. --Ishares Russell Microcap Index Fund	A	Dividend	J	T					
187. --Ishares TR MSCI Emerging Mkts Index Fd	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 16 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
188. --Ishares NASDAQ Biotech	A	Dividend	J	T					
189. --Ishares US Broker Dealers	A	Dividend	J	T					
190. --Johnson & Johnson	A	Dividend	J	T					
191. --Lattice Semiconductor Corp		None	J	T	Buy	06/04/15	J		
192. --Morgan Stanley	A	Dividend	J	T	Buy	03/30/15	J		
193. --NCR		None	J	T					
194. --NXP Semiconductore		None	J	T					
195. --Potash Corp of Saskatchewan Inc	A	Dividend	J	T					
196. --Powershares Golden Dragon China	A	Dividend	J	T					
197. --Proshares Trust Short 20+ Treasury		None	J	T	Buy	05/04/15	J		
198. --Guggenheim S&P 500 Equal Wghted Index Fd fka Rydex	A	Dividend	J	T					
199. --SPDR Gold Trust	A	Dividend	J	T					
200. --SPDR S&P Biotech	A	Dividend	J	T					
201. --SPDR S&P China	A	Dividend	J	T					
202. --SPDR Ser Tr S&P 600 Small Cap	A	Dividend	J	T					
203. --Stryker	A	Dividend	J	T					
204. --United Natural Foods		None	J	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J ~\$15,000 or less	K ~\$15,001 - \$50,000	L ~\$50,001 - \$100,000	M ~\$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q =Appraisal	R ~Cost (Real Estate Only)	S =Assessment	T ~Cash Market	
(See Column C2)	U ~Book Value	V ~Other	W ~Estimated		

FINANCIAL DISCLOSURE REPORT

Page 17 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
205. --Vanguard Mid Cap	A	Dividend	J	T					
206. --Vanguard MSCI EAFE	A	Dividend	J	T					
207. --Vanguard Russell 2000 Growth	A	Dividend	J	T					
208. --Vanguard Russell 2000 Value	A	Dividend	J	T					
209. --Vanguard S&P 500	A	Dividend	J	T					
210. --Walmart	A	Dividend	J	T					
211. --Whole Foods Market	A	Dividend	J	T					
212. --Wisdomtree Investments	A	Dividend	J	T	Buy	09/02/15	J		
213. --Zimmer Holdings	A	Dividend	J	T					
214.									
215. IRA #2 (H)									
216. --Wells Fargo Cash	A	Interest	J	T					
217. --Allergan(Fka Actavis) merger 6-15-15		None	J	T					
218. --Affiliated Managers Group		None	J	T	Buy	04/01/15	J		
219.				T	Buy (add'l)	04/22/15	J		
220.				T	Buy (add'l)	06/30/15	J		
221. --Apple Inc	A	Dividend	J	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 18 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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)	(5) Identity of buyer/seller (if private transaction)

222. --Applied Materials	A	Dividend	J	T					
223. --CBOE Holdings Inc	A	Dividend	J	T					
224. --Celgene Corp		None	J	T					
225. --CME Group	A	Dividend	J	T					
226. --EMC Corp Mass	A	Dividend	J	T					
227. --Express Scripts Hldg Co		None	J	T					
228. --ETFS Platinum Trust Shs Ben Int ETF		None	J	T					
229. --Fireeye Inc		None	J	T					
230. --Global X	A	Dividend	J	T					
231. --Intel Corp	A	Dividend	J	T					
232. --Ishares NASDAQ	A	Dividend	J	T					
233. --Ishares Russell Microcap Index Fund	A	Dividend	J	T					
234. --Ishares TR MSCI Emerging Mkts Index Fd	A	Dividend	J	T					
235. --Ishares US Brokers Dealers	A	Dividend	J	T					
236. --Johnson & Johnson	A	Dividend	J	T					
237. --Lattice Semiconductor Corp		None	J	T	Buy	06/04/15	J		
238. --Morgan Stanley	A	Dividend	J	T	Buy	03/30/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 19 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)

239. --NCR		None	J	T					
240. --NXP Semiconductors		None	J	T					
241. --Potash Corp of Saskatchewan Inc	A	Dividend	J	T					
242. --Powershares Golden Dragon China	A	Dividend	J	T	Buy	01/09/15	J		
243. --Proshares Trust Short 20+ Yr Treasury		None	J	T	Buy	05/04/15	J		
244. --Guggenheim S&P 500 Equal Wghtd Index Fd fka Rydex	A	Dividend	J	T					
245. --SPDR S&P Biotech	A	Dividend	J	T					
246. --SPDR S&P China	A	Dividend	J	T					
247. --SPDR Gold Trust	A	Dividend	J	T					
248. --SPDR Ser Tr S&P 600 Small Cap	A	Dividend	J	T					
249. --Stryker Corp	A	Dividend	J	T					
250. --United Natural Foods		None	J	T					
251. --Vanguard Mid Cap	A	Dividend	J	T					
252. --Vanguard MSCI EAFE	A	Dividend	J	T					
253. --Vanguard Russell 2000 Growth	A	Dividend	J	T					
254. --Vanguard Russell 2000 Value	A	Dividend	J	T					
255. --Vanguard S&P 500	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 20 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)

256. --Walmart	A	Dividend	J	T					
257. --Whole Foods Market	A	Dividend	J	T					
258. --Wisdomtree Investments	A	Dividend	J	T	Buy	09/03/15	J		
259. --Zimmer Holdings	A	Dividend	J	T					
260.									
261. IRA #3 (H)									
262. --Wells Fargo Money Fund	A	Interest	L	T					
263. --Allergan(Fka Actavis) merger 6-15-15		None	K	T					
264. --Affiliated Managers Group		None	K	T	Buy	04/01/15	J		
265.				T	Buy (add'l)	04/22/15	J		
266.				T	Buy (add'l)	06/30/15	J		
267. --Altera Corp	A	Dividend			Sold (part)	06/30/15	K	D	
268.					Sold	12/28/15	K	D	
269. --Apple Inc	B	Dividend	L	T					
270. --Applied Materials Inc	A	Dividend	K	T					
271. --CBOE Holdings Inc	A	Dividend	K	T					
272. --Celgene Corp		None	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 21 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
273. --CME Group	B	Dividend	K	T					
274. --EMC Corp Mass	A	Dividend	K	T					
275. --ETFS Platinum Trust Shs Ben Int EFT		None	J	T					
276. --Express Scripts Hldg Co		None	K	T					
277. --Fireeye Inc		None	J	T					
278. --Global X	A	Dividend	J	T					
279. --Intel Corp	A	Dividend	K	T					
280. --Ishares TRMSCI Emerging Mkts Index Fd	B	Dividend	L	T					
281. --Johnson & Johnson	A	Dividend	K	T					
282. --Lattice Semiconductor Corp		None	K	T	Buy	06/04/15	K		
283. --Morgan Stanley	A	Dividend	K	T	Buy	03/30/15	K		
284.				T	Buy (add'l)	05/04/15	K		
285. --NCR		None	K	T					
286. --NXP Semiconductors		None	K	T					
287. --Potash Corp of Saskatchewan Inc	A	Dividend	J	T					
288. --Powershares Golden Dragon China	A	Dividend	K	T					
289. --Proshares Trust Short 20+ Yr Treasury		None	K	T	Buy	05/04/15	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 22 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)

290.				T	Buy (add'l)	05/04/15	J		
291. --Guggenheim S&P 500 Equal Wghtd Index Fd(Formerly Rydex)	B	Dividend	M	T					
292. --Qualcomm Inc	B	Dividend	K	T					
293. --SPDR Gold Trust	A	Dividend	K	T					
294. --SPDR S&P Biotech ET	A	Dividend	L	T					
295. --SPDR S&P China	A	Dividend	K	T					
296. --SPDR Ser Tr S&P 600 Small Cap	B	Dividend	L	T					
297. --Stryker Corp	A	Dividend	K	T					
298. --United Natural Foods Inc		None	J	T					
299. --Vanguard Mid Cap	B	Dividend	L	T					
300. --Vanguard MSCI EAFE	B	Dividend	K	T					
301. --Vanguard Russell 2000 Growth	A	Dividend	M	T					
302. --Vanguard Russel 2000 Value	B	Dividend	L	T					
303. --Vanguard S&P 500	B	Dividend	M	T					
304. --Walmart	A	Dividend	K	T					
305. --Whole Foods Market	A	Dividend	J	T					
306. --Zimmer Holdings	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 23 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)

307. --Xilinx Inc	A	Dividend	K	T					
308.									
309. Bank RI Accounts #1	A	Interest	K	T					
310. Bank RI Accounts #2	A	Interest	M	T					
311. Bank RI Accounts #3	A	Interest	J	T					
312. Navigant Credit Union	A	Interest	J	T					
313.									
314. Alliance Capital 529 College Fund #2 (H)									
315. --CBF Portfolio 1996-98 ALT RA	A	Int./Div.	K	T					
316.									
317. Catalist LLC	A	Interest	J	U					
318. DSF Capital Partners III LP	D	Distribution	M	U					
319. DSF Capital Partners IV LP	E	Distribution	O	U					
320.									
321. MetLife Universal Life		None	M	T					
322. Sun Life Universal Life #1		None	O	T					
323. Sun Life Universal Life #2		None	O	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 24 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)

324. Sun Life Universal Life #3		None	O	T					
325.									
326. U.S. Savings Bonds	A	Interest	J	T					
327.									
328. Martha's Vineyard Colonial Inn LLC		None	P1	U					
329.									
330. Charlestown, Rhode Island, Rental Property (X)	E	Rent	P1	W					
331.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 25 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part II Agreements

A) Ness Motley, P.A. Employment and Compensation Agreement, dated January 30, 2003 by and between Ness Motley, P.A. (f/k/a Ness, Motley, Loadholt, Richardson & Poole, Professional Association) and its attorney signatories, setting forth the disbursement of net income received by the firm as compensation for services previously rendered.

B) Assignment of Certain Rights in MRRM, P.A., dated May 13, 2011 by and between MRRM, PA and John J. McConnell, Jr. setting forth the assignment of and payment for Other Rights not covered under the January 30, 2003 agreement above.

C) Assignment of Membership Interests in Motley Rice LLC and Mutual Release, dated May 13, 2011 by and between John J. McConnell, Jr and Motley Rice LLC setting forth the assignment of and payment for membership interests and mutual release of certain liabilities upon resignation of employment by John J. McConnell, Jr.

FINANCIAL DISCLOSURE REPORT

Page 26 of 26

Name of Person Reporting

McConnell Jr, John J.

Date of Report

05/13/2016

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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ John J. McConnell Jr**

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. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544