

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Connolly, Colm F.	2. Court or Organization United States District Court for the District of Delaware	3. Date of Report 05/04/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 844 King Street Unit 31 Wilmington, DE 19801		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	Ministry of Caring
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Connolly, Colm F.

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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.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	salary
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. Duke Law School	March 5, 2019	Durham, NC	Lecture and Student Interviews	Travel, Lodging, Meals
2. NYIPLA	March 21, 2019	NY, NY	Federal Judiciary Dinner	Travel, Lodging, Meals
3. Law & Economics Center	April 25, 2019	Washington, DC	Lecture	Travel, Lodging, Meals
4.				
5.				

Name of Person Reporting Connolly, Colm F.	Date of Report 05/04/2021
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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

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

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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. M&T Bank Accounts	A	Interest	L	T					
2. Capital One Money Market Accounts	A	Interest	O	T					
3.									
4. Retirement Savings Plan #1 (H)									
5. - T. Rowe Price Growth Stock Trust A	A	Dividend	K	T					
6. - Vanguard Institutional Index Instl PI	B	Dividend	L	T					
7. - American Funds EuroPacific Growth R6	B	Dividend	K	T					
8.									
9. Retirement Savings Plan #2 (H)									
10. - William Blair Intl Growth I	B	Dividend	J	T					
11. - Dodge & Cox Intl Stock	B	Dividend	K	T					
12. - DFA US SMall Cap Port Instl	B	Dividend	K	T					
13. - Goldman Sachs Global Income Fund Instl	B	Dividend	L	T					
14. - Vanguard REIT Index Fund	A	Dividend	K	T					
15.									
16. Defined Contribution Plan #1 (H)									
17. - William Blair Intl Growth I	A	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 \$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	

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18. - Dodge & Cox Intl Stock	C	Dividend	L	T					
19. - DFA US Small Cap Port I	B	Dividend	L	T					
20. - Invesco GI Real Estate R5	D	Dividend	L	T					
21. - Vanguard REIT Index Fund Inst	B	Dividend	L	T					
22.									
23. IRA #1 (H)									
24. - Vanguard Emerging Markets Select Stock Fund	B	Dividend	L	T					
25.									
26. IRA #2 (H)									
27. - Vanguard Emerging Markets Stock Index Admiral CL	A	Dividend	K	T					
28. - Vanguard Mid Cap Value Index Admiral CL	A	Dividend	K	T					
29. - Vanguard High Yield Corp Investor CL	A	Dividend	K	T					
30.									
31. Roth IRA #1 (H)									
32. - Vanguard Capital Opportunity Find Invst CL	B	Dividend	K	T					
33. - Vanguard Emerging Markets Select Stock Fund	A	Dividend	J	T					
34.									

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35. Roth IRA #2 (H)									
36. - Vanguard Capital Opportunity Fund Investor	A	Dividend	K	T					
37.									
38. Roth IRA #3 (H)									
39. - Vanguard Target Retirement 2060 Fund	A	Dividend	J	T					
40.									
41. Brokerage Account #1 (H)									
42. - Vanguard Federal Money Market Fund	A	Dividend	J	T					
43. - Vanguard Dividend Appreciation Index Fund Admiral CL	A	Dividend	K	T					
44. - Vanguard Prime Money Market Investor CL	A	Dividend	J	T					
45. - Vanguard Small Cap Growth Index Fund Admiral CL	A	Dividend	K	T					
46. - Vanguard Consumer Discretionary ETF	A	Dividend	K	T					
47. - Vanguard Consumer Staples ETF	A	Dividend	K	T					
48. - Vanguard Energy ETF	A	Dividend	L	T					
49. - Vanguard Health Care ETF	A	Dividend	K	T					
50. - Vanguard REIT Index ETF	A	Dividend	J	T					
51. - Vanguard S&P 500 Index ETF	A	Dividend	K	T					

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52. - Vanguard Communication Services ETF	A	Dividend	J	T					
53. - Proteon Therapeutics		None	J	T					
54.									
55. Brokerage Account #3 (H)									
56. - International Business Machines	A	Dividend	J	T					
57. - Microsoft Corp.	A	Dividend	J	T					
58.									
59. Brokerage Account #4 (H)									
60. - International Business Machines	A	Dividend	J	T					
61. - Fidelity Blue Chip Growth Fund	A	Dividend	J	T					
62. Microsoft	A	Dividend	J	T					
63.									
64. 529 #1 (H)									
65. - NY's 529 Moderate Growth Portfolio		None	J	T	Sold (part)	06/03/19	J		
66. - NY's 529 Interest Accumulation Portfolio		None	J	T	Sold (part)	06/03/19	J		
67. - NY's 529 Conservative Growth Portfolio		None	K	T	Sold (part)	06/03/19	K		
68.									

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69. 529 #4 (H)									
70. - NY's 529 Conservative Growth Portfolio		None	K	T	Sold (part)	01/03/19	J		
71.					Sold (part)	08/02/19	J		
72. - NY's 529 Income Portfolio		None	K	T	Sold (part)	01/03/19	K		
73.					Sold (part)	08/02/19	K		
74. - NY's 529 Moderate Growth Portfolio		None	J	T	Sold (part)	01/03/19	J		
75.					Sold (part)	04/11/19	J		
76.					Sold (part)	08/02/19	J		
77.					Sold (part)	10/08/19	J		
78.									
79. 529 #5 (H)									
80. - Fidelity DE Aggressive Growth Portfolio (Fidelity Indx)		None	L	T					
81. - Fidelity DE Aggressive Growth Portfolio (Fidelity FDS)		None	L	T	Sold (part)	12/13/19	J		
82.									
83. 529 #6 (H)									
84. - Fidelity DE Conservative (Fid. Index)		None	J	T					
85. - Fidelity DE Moderate Growth Portfolio (Fidelity Indx)		None	J	T					

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3 Value Method Codes (See Column C2)					

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86.									
87. 529 #7 (H)									
88. - Fidelity DE Conservative (Fid. Index)		None	J	T	Sold (part)	01/04/19	J		
89.					Sold (part)	04/12/19	J		
90.					Sold (part)	06/03/19	J		
91.					Sold (part)	08/05/19	J		
92.					Sold (part)	10/10/19	J		
93.					Buy (add'l)	12/13/19	J		
94.					Sold (part)	12/16/19	K		
95.					Sold (part)	12/16/19	J		
96. - Fidelity DE Moderate Growth Portfolio (Fidelity Indx)		None	J	T	Sold (part)	01/04/19	J		
97.					Sold (part)	04/12/19	J		
98.					Sold (part)	06/03/19	J		
99.					Sold (part)	08/05/19	J		
100.					Sold (part)	10/10/19	J		
101.					Buy (add'l)	12/13/19	J		
102.					Sold (part)	12/16/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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103.					Sold (part)	12/16/19	J		
104.									
105. 529 #8 (H)									
106. - Fidelity DE Conservative (Fid. Index)		None	K	T					
107. - Fidelity DE Aggressive Growth Portfolio (Fidelity Indx)		None	K	T					
108. - Fidelity DE Moderate Growth Portfolio (Fidelity Indx)		None	L	T					
109.									
110. UTMA #2 (H)									
111. - Fidelity Blue Chip Growth Fund	A	Dividend			Distributed	06/04/19	J		
112. - International Business Machines	A	Dividend			Distributed	06/04/19	J		
113. - Microsoft Corp.	A	Dividend			Distributed	06/04/19	J		
114.									
115. UTMA #3 (H)									
116. - Fidelity Blue Chip Growth Fund	A	Dividend	J	T					
117. - International Business Machines	A	Dividend	J	T					
118. - Microsoft Corp.	A	Dividend	J	T					
119.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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120. College Avenue Student Loans, LLC units		None	M	U					
121.									
122. IRA #3 (H)									
123. - Diamond Hill Large Cap	B	Dividend	M	T	Buy	09/11/19	M		
124. - Eaton Vance Atlanta Cap	D	Dividend	L	T					
125. - Edgewood Growth Instl	D	Dividend	M	T	Buy	09/10/19	M		
126.		None			Buy (add'l)	09/11/19	J		
127. - Pear Tree Polaris	A	Dividend	L	T	Buy	09/11/19	L		
128. - Vanguard Intl Growth FD Admiral Shares	A	Dividend	L	T	Buy	09/10/19	L		
129. - Thornburg Strategic	A	Dividend			Sold	09/10/19	J	A	
130. - Primecap Odyssey Growth		None			Sold	09/10/19	K	C	
131. - Putnam Diversified INCM Trust		None			Sold	09/10/19	K	A	
132. - PIMCO INCM CL	A	Dividend			Sold	09/10/19	K	A	
133. - PIMCO STKSPLUS Absolute Return		None			Sold	09/10/19	K	A	
134. - Morgan Stanley Growth		None			Sold	09/10/19	K	A	
135. - Neuberger Berman Eqty		None			Sold	09/10/19	J	A	
136. - Loomis Sayles Global		None			Sold	09/10/19	J	C	

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	

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Name of Person Reporting

Connolly, Colm F.

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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. - Matthews Asia Dividend		None			Sold	09/10/19	K	A	
138. - First Eagle Global Fund		None			Sold	09/10/19	J	A	
139. - Hartford Growth Opportunity		None			Sold	09/10/19	J	A	
140. - Columbia Adaptive Risk		None			Sold	09/10/19	K	A	
141. - Columbia Dividend Income		None			Sold	09/10/19	K	A	
142. - Verizon Stock		None			Sold	09/10/19	J	A	
143. - Verizon Stock		None			Sold	09/10/19	J	A	
144. - Verizon Stock		None			Sold	09/10/19	J	B	
145. - Verizon Stock		None			Sold	09/10/19	J	B	
146. - Ventas Inc REIT		None			Sold	09/10/19	J	A	
147. - Ventas Inc REIT		None			Sold	09/10/19	J	B	
148. - Ventas Inc REIT		None			Sold	09/10/19	J	B	
149. - Ventas Inc REIT		None			Sold	09/10/19	J	B	
150. - Ventas Inc REIT		None			Sold	09/10/19	J	B	
151. - Ventas Inc REIT		None			Sold	09/10/19	J	B	
152. - Ventas Inc REIT		None			Sold	09/10/19	J	B	
153. - Vanguard Info Technology ETF		None			Sold	09/10/19	K	D	

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	

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Connolly, Colm F.

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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. - Select Sector Health Care ETF		None			Sold	09/10/19	J	A	
155. - Select Sector Health Care ETF		None			Sold	09/10/19	J	A	
156. - Select Sector Health Care ETF		None			Sold	09/10/19	J	B	
157. - Select Sector Health Care ETF		None			Sold	09/10/19	J	C	
158. - Select Sector Health Care ETF		None			Sold	09/10/19	K	C	
159. - Phillips 66 Stock	A	Dividend			Sold	09/10/19	J	D	
160. - Microsoft Stock	A	Dividend			Sold	09/11/19	K	E	
161. - Medtronic Stock		None			Sold	09/11/19	J	A	
162. - Medtronic Stock		None			Sold	09/11/19	K	D	
163. - Occidental Petroleum Stock	A	Dividend			Sold	09/11/19	J	A	
164. - Occidental Petroleum Stock	A	Dividend			Sold	09/11/19	J	A	
165. - First Trust Cloud Computing ETF		None			Sold	09/11/19	J	C	
166. - Lilly Eli & Co. Stock	A	Dividend			Sold	09/11/19	J	B	
167. - Lilly Eli & Co. Stock	A	Dividend			Sold	09/11/19	J	D	
168. - Eaton Vance Enhanced Eqty INCM II	A	Dividend			Sold	09/11/19	J	A	
169. - Eaton Vance Enhanced Eqty INCM II	A	Dividend			Sold	09/11/19	J	A	
170. - Eaton Vance Enhanced Eqty INCM II	A	Dividend			Sold	09/11/19	J	C	

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	

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Name of Person Reporting

Connolly, Colm F.

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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. - Eaton Vance Enhanced Eqty INCM II	A	Dividend			Sold	09/11/19	J	C	
172. - Comcast Stock		None			Sold	09/11/19	K	D	
173. - Calamos Strategic Total Return		None			Sold	09/11/19	K	B	
174. - Century Link Inc Stock	A	Dividend			Sold	09/11/19	J	A	
175. - Century Link Inc Stock	A	Dividend			Sold	09/11/19	J	A	
176. - Century Link Inc Stock	A	Dividend			Sold	09/11/19	J	A	
177. - Century Link Inc Stock	A	Dividend			Sold	09/11/19	J	A	
178. - Century Link Inc Stock	A	Dividend			Sold	09/11/19	J	A	
179. - Century Link Inc Stock	A	Dividend			Sold	09/11/19	J	A	
180. - Century Link Inc Stock	A	Dividend			Sold	09/11/19	J	A	
181. - Century Link Inc Stock	A	Dividend			Sold	09/11/19	J	A	
182. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
183. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
184. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
185. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
186. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
187. - Blackstone Group Inc		None			Sold	09/11/19	J	A	

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		

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Name of Person Reporting

Connolly, Colm F.

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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. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
189. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
190. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
191. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
192. - Blackstone Group Inc		None			Sold	09/11/19	J	A	
193.									
194. Brokerage Account #5 (H)									
195. - Vanguard High Yield Tax Exempt Fund	A	Dividend	M	T	Buy	08/08/19	M		
196. - Vanguard Interim Tax Exempt Fund	A	Dividend	N	T	Buy	08/08/19	N		
197. - Vanguard LTD Term Tax Exempt Fund	A	Dividend	M	T	Buy	08/08/19	M		
198. - Eaton Vance Atlanta SMID Cap	D	Dividend	L	T	Buy	09/11/19	L		
199.					Buy (add'l)	11/04/19	K		
200. - Harding Loevner Inst Emerg Mkts	B	Dividend	L	T	Buy	09/12/19	K		
201.					Buy (add'l)	09/13/19	J		
202. - Vanguard Tax Managed Small Cap	A	Dividend	L	T	Buy	09/10/19	K		
203.					Buy (add'l)	09/11/19	J		
204.					Buy (add'l)	11/04/19	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	

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205. - Chevron	A	Dividend	J	T					
206. - Colgate-Palmolive	A	Dividend	K	T					
207. - Exxon Mobile	A	Dividend	J	T					
208. - McDonalds	B	Dividend	K	T					
209. - NY NY GO 5% Bonds		None			Sold	09/09/19	K	A	
210. - Merk & Co. Stock		None			Sold	09/09/19	K	D	
211. - NY NY GO 5% Bonds		None			Sold	09/09/19	K	A	
212. - NY NY GO 5% Bonds		None			Sold	09/09/19	K	A	
213. - NY ST Dorm Auth Pers Bonds		None			Sold	09/09/19	K	A	
214. - NYC NY Tran Auth Bonds		None			Sold	09/09/19	J	A	
215. - Met Tran Auth NY Bonds		None			Sold	11/05/19	J	A	
216. - NY NY GO 5% Bonds		None			Sold	11/05/19	K	A	
217. - NY NY GO 5% Bonds		None			Sold	11/05/19	K	A	
218. - NY NY GO 5% Bonds		None			Sold	11/05/19	J	A	
219. - NY NY GO 5% Bonds		None			Sold	11/05/19	K	A	
220. - NY NY GO 5% Bonds		None			Sold	11/05/19	J	A	
221.									

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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222.									
223.									
224.									
225.									
226.									
227.									
228.									
229.									
230.									
231.									
232.									
233.									
234.									
235.									
236.									
237.									
238.									

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

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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IX. CERTIFICATION.

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

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Colm F. Connolly**

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