

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) McElroy, Mary S.	2. Court or Organization United States District Court for the District of RI	3. Date of Report 06/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	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 U.S. District Court 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. Rhode Island Public Defender	State of Rhode Island Public Defender
2. Board Member	Rhode Island Association of Criminal Defense Lawyers
3. Board Member	RI Attorney General's Criminal Justice Hall of Fame Committee
4. Board Member	RI Criminal Justice Policy Board
5. Board Member	RI Governor's Interagency Council on Homelessness

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2032	State of RI Retirement Account. Entitled to collect a pension at approx age 67. Pension is equal to a percentage of the average of the highest 3 years income
2.	
3.	

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McElroy, Mary S.

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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. 2019	State of Rhode Island Public Defender/salary	\$132,000.00
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Coventry Rhode Island Public Schools/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.				
2.				
3.				
4.				
5.				

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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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Name of Person Reporting

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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. ING/Capital One 360 Cash equivalent account	A	Interest	J	T					
2. Coventry Teachers Credit Union cash equivalent account	A	Interest	J	T					
3. Coventry Credit Union Cash equivalent account	A	Interest	J	T					
4. Pawtucket Credit Union cash equivalent account	A	Interest	J	T					
5. Greenwood Credit Union cash equivalent account	A	Interest	J	T					
6.									
7. College Bound Fund 529 Plans	A	Interest	K	T					
8.									
9. GAMCO Investors SRI fund CL AAA-SRIGX	A	Dividend	J	T					
10.									
11. TIAA-CREF RI Defined Contribution Plan									
12. -Vang FTSE Soc. Index (VFTAX)	A	Dividend	K	T	Sold (part)	07/26/19	J		
13. -Vang Inst Index (VINIX)	A	Dividend			Sold	09/30/19	K		
14. -Vang Target Retirement 2030 Trust I (VTHRX)	A	Dividend	K	T	Buy	09/30/19	J		
15. -Vanguard Mid-cap Index Fund (VMCIX)	A	Dividend			Sold	12/24/19	K		
16. - Vanguard Small cap Index Fund (VSCIX)	A	Dividend			Sold	12/24/19	K		
17. -Vanguard Ttl Bd Mkt Idx Adm (VBTLX)	A	Dividend			Sold	12/24/19	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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	(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. -Pimco Real Return Inst. Class (PRRIX)	A	Dividend	K	T	Buy	09/30/19	J		
19. -State Street SP 500 Id II (SVSPX)	A	Dividend	K	T	Buy	12/24/19	K		
20. -State Street Sm Mid Id II (SSMKX)	A	Dividend	K	T	Buy	12/24/19	K		
21. -Vanguard Target Ret. Inc. Trust I (VTINX)	A	Dividend	J	T	Buy	10/01/19	J		
22. -State Street US Bond Id. XIV (SSFCX)	A	Dividend	K	T	Buy	12/24/19	K		
23.									
24. Waddell & Reed									
25. - Ivy Large Cap Growth A (WLGAX)	A	Dividend	J	T	Sold (part)	10/02/19	K		
26. - Ivy Global Growth (IVINX)	A	Dividend	J	T	Sold (part)	10/02/19	J		
27. - Ivy Mid Cap Income (IVOAX)	A	Dividend	J	T	Sold (part)	10/02/19	K		
28. Ivy Core Equity A (WECEAX)	A	Dividend	J	T	Sold (part)	10/02/19	J		
29. -Ivy Mid Cap Growth A (IGWAX)	A	Dividend	J	T	Sold (part)	10/02/19	J		
30. -Ivy Science and Technology A (WSTAX)	A	Dividend	J	T	Sold (part)	10/02/19	K		
31. - Ivy Small Cap Core A (IYSAX)	A	Dividend	J	T	Sold (part)	10/02/19	K		
32. -Ivy Emerging Markets Equity A (IPOAX)	A	Dividend	J	T	Sold (part)	10/02/19	J		
33. -Ivy Small Cap Growth A (WSGAX)	A	Dividend	J	T	Sold (part)	10/02/19	K		
34. -Ivy High Income A (WHIAX)	A	Dividend	K	T	Buy	10/02/19	K		

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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)
35. -Ivy Balanced A (IBNAX)	A	Dividend	K	T	Buy	10/02/19	K		
36. -Ivy Corporate Bond A (IBJAX)	A	Dividend	K	T	Buy	10/02/19	K		
37. -Ivy Appolo Strategic Income A (IAPOX)	A	Dividend	K	T	Buy	10/02/19	K		
38. -Ivy International Core Equity A (IVIAX)	A	Dividend	J	T	Sold (part)	10/02/19	J		
39.									

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

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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/ **Mary S. McElroy**

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
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Washington, D.C. 20544