

Financial Disclosures

Annual Report for Calendar 2016

The Honorable A. Mitchell McConnell Jr. (McConnell, A. Mitchell Jr.)

Filed 05/15/2017 @ 10:51 AM

The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **Yes**

#	Date	Activity	Amount	Who Paid?	Who received payment?
1	03/09/2016	Speech	\$17,500.00	Iranian-American Cultural Association of Missouri Washington, DC	Spouse

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Self	Other (Book Payment)	Penguin Random House LLC New York, New York	\$100,000.00
2	Spouse	Salary	The Heritage Foundation Washington, DC	> \$1,000
3	Spouse	Salary	Tilson HR (Hudson Institute) Washington, D.C.	> \$1,000
4	Spouse	Other (Director Fees)	NC Transactions (News Corp.) New York, NY	> \$1,000

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Who Was Paid			Who Paid	Amount Paid
#	Paid	Type		
5	Spouse	Other (Deferred Fees (former board member taxable benefit))	Delta Airlines, Inc. Atlanta, GA	> \$1,000
6	Spouse	Other (Director Fees)	Wells Fargo & Company San Francisco, CA	> \$1,000
7	Spouse	Other (Director Fees (Board Compensation Including Pay-out of Deferred Compensation))	Ingersoll Rand Dublin, Ireland	> \$1,000
8	Spouse	Other (Director Fees)	Vulcan Materials Company Birmingham, AL	> \$1,000

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1	Republic Bank and Trust (Louisville, KY) Type: Checking,	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)
2	MNNAX - Victory Munder Multi-Cap A	Trust General (Trust)	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
3	VHCAX - Vanguard Capital Opportunity Adm (NASDAQ)	Trust General (Trust)	Self	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
4	VSIAX - Vanguard Small Cap Value Index Admiral (NASDAQ)	Trust General (Trust)	Self	\$250,001 - \$500,000	Excepted Investment Fund,	None (or less than \$201)
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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
5	VFIAX - Vanguard 500 Index Admiral (NASDAQ)	Trust General (Trust)	Self	\$250,001 - \$500,000	Excepted Investment Fund,	None (or less than \$201)
6	A. Mitchell McConnell, Jr. Revocable Trust	Trust General (Trust)	Self			
6.1	Merrill Lynch (Louisville , KY) Type: Money Market Account,	Bank Deposit	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
7	Mitch IRA MLPA	Retirement Plans IRA	Self			
7.1	Bank of America (Louisville, Kentucky) Type: IRA Cash Accounts,	Bank Deposit	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
7.2	SCPB - SPDR Barclays Short Term Corp Bd ETF (NYSEArca)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.3	VCSH - Vanguard Short-Term Corporate Bond ETF (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.4	IWM - iShares Russell 2000	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.5	SPY - SPDR S&P 500 ETF	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7.6	<u>VQ</u> - Vanguard Mid-Cap ETF	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$15,001 - \$50,000
8	Vanguard 529 College Savings Plan <i>Institution: Vanguard</i>	Education Savings Plans 529 College Savings Plan	Self			
8.1	Vanguard Aggressive Growth Portfolio (Age Based)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
9	Vanguard 529 College Savings Plan <i>Institution: Vanguard</i>	Education Savings Plans 529 College Savings Plan	Self			
9.1	Vanguard Aggressive Growth Portfolio (Age Based)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
10	<u>VMMXX</u> - Vanguard Money Market Reserves (NASDAQ)	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
11	<u>VMSXX</u> - Vanguard Tax-Exempt Money Marke (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$5,001 - \$15,000
12	<u>VFIAX</u> - Vanguard 500 Index Admiral (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$15,001 - \$50,000
13	Real Property with Carriage House Rental <i>Description: Real Property with Carriage House Rental (Washington, DC)</i>	Real Estate Residential	Joint	\$1,000,001 - \$5,000,000	Rent/Royalties,	\$15,001 - \$50,000
14	UBS Pension Trust (9 items)	Trust General (Trust)	Spouse	hide me		

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
14.1	UBS (uninvested cash held by UBS) (Washington, DC) <i>Type: Checking,</i>	Bank Deposit	Spouse	None (or less than \$1,001)	Interest,	None (or less than \$201)
14.2	<u>WGIFX</u> - American Funds Capital World Gr&Inc F2 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
14.3	<u>SDSCX</u> - Dreyfus/The Boston Co Sm/Md Cp Gr I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
14.4	<u>FEIGX</u> - First Eagle Gold I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
14.5	<u>PEQPX</u> - Principal Equity Income P (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
14.6	<u>GFFFX</u> - American Funds Growth Fund of Amer F2 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
14.7	<u>DPFFX</u> - Delaware Diversified Income Instl (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
14.8	<u>TGBAX</u> - Templeton Global Bond Adv (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
14.9	<u>PGDPX</u> - Principal Global Div Inc P (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
15	(Heritage Foundation 403(b)) SWGXX - Schwab Government Money Fund - <i>Filer comment: Used to be SWIXX (Schwab Retirement Advantage Money), but converted in 2016 to SWGXX.</i>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
16	(Heritage Foundation 403(b)) VFIAX- Vanguard 500 Index Admiral	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
17	(Heritage Foundation Retirement) SWGXX - Schwab Government Money Fund - <i>Filer comment: Used to be SWIXX (Schwab Retirement Advantage Money), but converted in 2016 to SWGXX. The conversion does not trigger reporting under the transactions section.</i>	Mutual Funds Mutual Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
18	(Heritage Foundation Retirement) ARTKX- Artisan International Value Investor	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
19	(Heritage Foundation Retirement) BARAX- Baron Asset Retail	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
20	(Heritage Foundation Retirement) FAIRX- Fairholme	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$2,501 - \$5,000
21	(Heritage Foundation Retirement) LSBDX- Loomis Sayles Bond Instl	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
22	(Heritage Foundation Retirement) OAKMX- Oakmark I	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$1,001 - \$2,500
23	(Heritage Foundation Retirement) RSEIX- Royce Special Equity Instl	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
24	(Heritage Foundation Retirement) SLASX- Selected American Shares S	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
25	(Heritage Foundation Retirement) PRMSX- T. Rowe Price Emerging Markets Stock	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
26	(Heritage Foundation Retirement) VGSLX- Vanguard REIT Index Adm	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
27	(Heritage Foundation Retirement) WIIBX- Westcore Plus Bond Institutional	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
28	(Retirement) Deutsch VSI Capital Growth - Mutual of America <i>Filer comment: Tax Deferred Annuity</i>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
29	SunTrust Solid Choice Banking (Washington, DC) <i>Type: Checking,</i>	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
30	SunTrust Advantage Money Market Account (Washington, DC) <i>Type: Money Market Account,</i>	Bank Deposit	Spouse	\$1,000,001 - \$5,000,000	Interest,	\$201 - \$1,000
31	Suntrust Business Checking (Firebird International LLC) (Washington, DC) <i>Type: Checking,</i> <i>Filer comment: Firebird International LLC is a single member LLC and this entity does not have any value other than the cumulative value of its individual assets.</i>	Bank Deposit	Spouse	\$15,001 - \$50,000	None,	None (or less than \$201)

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
32	Suntrust Business Money Market Performance (Firebird International LLC) (Washington, DC) <i>Type:</i> Money Market Account, <i>Filer comment:</i> Firebird International LLC is a single member LLC and this entity does not have any value other than the cumulative value of its individual assets.	Bank Deposit	Spouse	\$500,001 - \$1,000,000	Interest,	\$201 - \$1,000
33	Suntrust Personal Savings Account (Washington, DC) <i>Type:</i> Savings,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
34	UBS IRA (7 items)	Retirement Plans IRA	Spouse			
34.1	<u>WGIFX</u> - American Funds Capital World Gr&Inc F2 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
34.2	<u>FEGIX</u> - First Eagle Gold I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
34.3	<u>PEQPX</u> - Principal Equity Income P (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
34.4	<u>RSPYX</u> - RS Partners Y (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
34.5	<u>GFFFX</u> - American Funds Growth Fund of Amer F2 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
34.6	<u>DPFFX</u> - Delaware Diversified Income Instl (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
34.7	TGBAX - Templeton Global Bond Adv (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
35	Scottrade (Washington, DC) Type: Brokerage Sweep Account, Checking,	Bank Deposit	Spouse	None (or less than \$1,001)	Interest,	None (or less than \$201)
36	TRBCX - T. Rowe Price Blue Chip Growth (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	\$1,001 - \$2,500
37	PRITX - T. Rowe Price International Stock Fd (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500
38	RPMGX - T. Rowe Price Mid-Cap Growth (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
39	PRSCX - T. Rowe Price Science & Tech (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
40	OTCFX - T. Rowe Price Small-Cap Stock (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500
41	(Retirement) PREIX-T. Rowe Price Equity Index 500 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
42	(Pension Trust) VFAX-Vanguard 500 Index Admiral (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$15,001 - \$50,000
43	VGIAX - Vanguard Growth & Income Adm (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$250,001 - \$500,000 hide me	Excepted Investment Fund,	\$15,001 - \$50,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
44	VMSXX - Vanguard Tax-Exempt Money Marke (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
45	VFIAX - Vanguard 500 Index Admiral (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$15,001 - \$50,000
46	(IRA) VFIAX-Vanguard 500 Index Admiral (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	\$2,501 - \$5,000
47	WFC - Wells Fargo & Company (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
48	News Corp./phantom stock (Director Deferred Compensation) <i>Company: News Corp. (New York, NY) Description: Phantom Stock (Director Deferred Compensation)</i>	Deferred Compensation	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
49	Wells Fargo & Company/phantom stock (Director Deferred Compensation) <i>Company: Wells Fargo & Company (San Francisco, CA) Description: Phantom stock (Director Deferred Compensation)</i>	Deferred Compensation	Spouse	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)
50	Vulcan Materials Deferred Compensation <i>Filer comment: Board Service</i>	Deferred Compensation Deferred Compensation - Other	Spouse			
50.1	Vulcan Materials Deferred Stock Units <i>Description: compensation for board service (Birmingham, AL)</i>	Other Securities	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
51	Ingersoll-Rand Deferred Compensation <i>Filer comment: Board service</i>	Deferred Compensation Deferred Compensation - Other	Spouse			

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
51.1	Ingersoll-Rand Restricted Stock Units (2016 Issue) <i>Description:</i> Compensation for board service (Dublin, Ireland) <i>Filer comment:</i> "2016 Issue" to differentiate from 2015 entry, which is now accounted for below in UBS CSSP.	Other Securities	Spouse	\$100,001 - \$250,000	None,	None (or less than \$201)
52	UBS CSSP (via Ingersoll-Rand) <i>Filer comment:</i> 2015 IR RSUs vested in 2016; actual shares issued for the RSUs. A portion sold and remainder put into this UBS account.	Deferred Compensation Deferred Compensation - Other	Spouse			
52.1	IR - Ingersoll-Rand Plc <i>Filer comment:</i> Received in 2016 upon vesting of 2015 RSUs	Corporate Securities Stock	Spouse	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
53	MNNAX - Victory Munder Growth Opportunities A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
54	UBS PSP	Trust General (Trust)	Spouse			
54.1	UBS (uninvested cash held by UBS) (Washington, D.C.) <i>Type:</i> Checking,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
54.2	JHIGX - JHancock International Growth R2	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
54.3	JDVPX - JHancock Disciplined Value R2	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
55	Elaine L Chao Revocable Trust <i>Filer comment:</i> Electron Global was the underlying asset. Redeemed in 2016.	Trust General (Trust)	Spouse	None (or less than \$1,001) hide me	None,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **Yes**

#	Transaction		Asset		Type	Amount	Comment
	Date	Owner	Ticker	Name			
1	06/09/2016	Spouse	--	IR- Ingersoll- Rand Plc	Sale (Partial)	\$50,001 - \$100,000	2015 Issued IR RSUs vested and actual shares issued; part of shares sold w/ remainder in UBS CSSP

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Spouse	--	Electron Global Fund L.P.	Purchase	03/01/2016	\$500,001 - \$1,000,000	--
2	Spouse	--	Electron Global Fund L.P. (Revocable Trust)	Sale (Full)	12/31/2016	\$1,000,001 - \$5,000,000	--
3	Spouse	<u>TRBCX</u>	T. Rowe Price Blue Chip Growth	Purchase	12/14/2016	\$1,001 - \$15,000	Dividend Reinvestment
4	Spouse	<u>PRITX</u>	T. Rowe Price International Stock	Purchase	12/16/2016	\$1,001 - \$15,000	Dividend Reinvestment
5	Spouse	<u>RPMGX</u>	T. Rowe Price Mid-Cap Growth	Purchase	12/14/2016	\$1,001 - \$15,000	Dividend Reinvestment
6	Spouse	<u>PRSCX</u>	T. Rowe Price Science & Tech	Purchase	12/15/2016	\$1,001 - \$15,000	Dividend Reinvestment
7	Spouse	<u>OTCFX</u>	T. Rowe Price Small-Cap Stock	Purchase	12/14/2016	\$1,001 - \$15,000	Dividend Reinvestment
8	Joint	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	05/31/2016	\$1,001 - \$15,000	Dividend Reinvestment
9	Joint	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	06/30/2016	\$1,001 - \$15,000	Dividend Reinvestment
10	Joint	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	07/29/2016	\$1,001 - \$15,000	Dividend Reinvestment

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#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
11	Joint	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	08/31/2016	\$1,001 - \$15,000	Dividend Reinvestment
12	Joint	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	09/30/2016	\$1,001 - \$15,000	Dividend Reinvestment
13	Joint	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	10/31/2016	\$1,001 - \$15,000	Dividend Reinvestment
14	Joint	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	11/30/2016	\$1,001 - \$15,000	Dividend Reinvestment
15	Joint	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	03/18/2016	\$1,001 - \$15,000	Dividend Reinvestment
16	Joint	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	06/20/2016	\$1,001 - \$15,000	Dividend Reinvestment
17	Joint	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	09/12/2016	\$1,001 - \$15,000	Dividend Reinvestment
18	Joint	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	12/21/2016	\$15,001 - \$50,000	Dividend Reinvestment
19	Joint	<u>VFIAX</u>	Vanguard 500 Index Admiral	Sale (Partial)	11/09/2016	\$15,001 - \$50,000	To Vanguard Tax-Exempt Money Market
20	Joint	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	11/09/2016	\$15,001 - \$50,000	From Vanguard 500 Index Adm
21	Spouse	<u>VGIAX</u>	Vanguard Growth & Income Adm	Purchase	06/13/2016	\$1,001 - \$15,000	Dividend Reinvestment
22	Spouse	<u>VGIAX</u>	Vanguard Growth & Income Adm	Purchase	12/23/2016	\$1,001 - \$15,000	Dividend Reinvestment
23	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Sale (Partial)	03/18/2016	\$1,001 - \$15,000	Dividend Transfer to Vanguard Tax-Exempt MM
24	Spouse	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	03/18/2016	\$1,001 - \$15,000	Transfer from Vanguard 500 Index
25	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Sale (Partial)	06/20/2016	\$1,001 - \$15,000	Dividend Transfer to Vanguard Tax-Exempt MM
26	Spouse	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	06/20/2016	\$1,001 - \$15,000	Transfer from Vanguard 500 Index

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#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
27	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Sale (Partial)	09/12/2016	\$1,001 - \$15,000	Dividend Transfer to Vanguard Tax-Exempt MM
28	Spouse	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	09/12/2016	\$1,001 - \$15,000	Transfer from Vanguard 500 Index
29	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Sale (Partial)	12/21/2016	\$1,001 - \$15,000	Dividend Transfer to Vanguard Tax-Exempt MM
30	Spouse	<u>VMSXX</u>	Vanguard Municipal Money Market	Purchase	12/21/2016	\$1,001 - \$15,000	Transfer from Vanguard 500 Index
31	Spouse	<u>VMSXX</u>	Vanguard Municipal Money Market	Sale (Partial)	01/12/2016	\$15,001 - \$50,000	Transfer to Vanguard 500 Index
32	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	01/12/2016	\$15,001 - \$50,000	Transfer from Vanguard Tax Exempt MM
33	Spouse	<u>VMSXX</u>	Vanguard Municipal Money Market	Sale (Partial)	11/09/2016	\$1,001 - \$15,000	Transfer to Vanguard 500 Index
34	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	11/09/2016	\$1,001 - \$15,000	Transfer from Vanguard Tax Exempt MM
35	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	12/21/2016	\$1,001 - \$15,000	(IRA) (Dividend Reinvestment)
36	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	03/18/2016	\$1,001 - \$15,000	(Pension Trust) (Dividend Reinvestment)
37	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	06/20/2016	\$1,001 - \$15,000	(Pension Trust) (Dividend Reinvestment)
38	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	09/12/2016	\$1,001 - \$15,000	(Pension Trust) (Dividend Reinvestment)
39	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	12/21/2016	\$1,001 - \$15,000	(Pension Trust) (Dividend Reinvestment)

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#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
40	Spouse	<u>VFIAX</u>	Vanguard 500 Index Admiral	Purchase	04/18/2016	\$250,001 - \$500,000	(Pension Trust)
41	Spouse	<u>GFFFX</u>	American Funds Growth Fund of Amer F2	Purchase	12/22/2016	\$1,001 - \$15,000	(UBS PS) (Dividend Reinvestment)
42	Spouse	<u>PEOPX</u>	Principal Equity Income P	Purchase	12/21/2016	\$1,001 - \$15,000	(UBS IRA) (Dividend Reinvestment)
43	Spouse	--	WGIFX - American Funds Capital World Gr&Inc F2	Purchase	12/22/2016	\$1,001 - \$15,000	(UBS IRA) (Dividend Reinvestment)
44	Spouse	<u>GFFFX</u>	American Funds Growth Fund of Amer F2	Purchase	12/22/2016	\$1,001 - \$15,000	(UBS IRA) (Dividend Reinvestment)
45	Spouse	<u>RSPYX</u>	Victory RS Partners Y	Purchase	12/29/2016	\$1,001 - \$15,000	(UBS IRA) (Dividend Reinvestment)

Part 5. Gifts
 Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel
 Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **No**

Part 7. Liabilities
 Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **No**

Part 8. Positions
 Did you hold any outside positions during the reporting period? **Yes**

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Jun 1994 to present	Other (Member, Visiting Committee (Uncompensated))	University of Kentucky College of Law Lexington, Kentucky	Other (Public University/Law School)	
2	Jul 2011 to Jan 2017	Other (Member, Board of Dean's Advisors (Uncompensated))	Harvard Business School Cambridge, MA	Other (Private University/Business School)	hide me

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms
1	Oct 2015	Sentinel, an imprint of Penguin Publishing Group, a division of Penguin Random House LLC (Sentinel) New York, New York	Other (Compensation and Royalty Agreement)	A contract in which the undersigned agreed to complete a manuscript in exchange for publication and \$325,000 in compensation, payable in installments, by Sentinel. The contract also provides for royalty payments in the following manner: 15% of the retail price for all hardcover editions of the book sold; 7.5% to 10% of the retail price for all trade edition and mass market paperback copies sold; and 25% of the receipts for e-book edition sales.

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.

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