

Periodic Transaction Report

OFFICE TELEPHONE: (918) 583-6900

2017 JUN 15 AM 10:11

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(For Official Use Only)

☐ Yes ☒ No

Please indicate whether this is an initial report or an amended report.
For amendments, please provide the date of the report you are amending.

	Initial Report	Amendment
	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Date of Report Being Amended:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

[illegible]

NAME:
LAURENCE FRANCIS ROONEY

	FULL ASSET NAME	Type of transaction	Date of Transaction	Date Notified of Transaction	Amount of Transaction
JT SP DC	Provide full name, not ticker symbol	PURCHASE SALE EXCHANGE	(MM/DD/YYYY)	(MM/DD/YYYY)	A \$1,000-\$15,000 B \$15,001-\$50,000 C \$50,001-\$100,000 D \$100,001-\$250,000 E \$250,001-\$500,000 F \$500,001-\$1,000,000 G \$1,000,001-\$5,000,000 H \$5,000,001-\$25,000,000 I \$25,000,001-\$50,000,000 J Over \$50,000,000 K Transaction In a Spouse or Dependent Child Asset over \$1,000,000
Brown Advisory - New Haven CT Solid Waste Authority P/R 6/LJ/B @ 100 S.375% DUE 06-01-2028	X		6/1/2017	6/14/2017	X
Brown Advisory - Golden State Tobacco Securitization Corp. CA 5% DUE 06-01-2025	X		5/18/2017	5/31/2017	X
Rooney Family Investments, Ltd. (Private Investments, Naples, FL):					
GS Brokerage - AMBEV S A SPONSORED ADP CMN (ABEV)	X		6/8/2017	6/14/2017	X
GS Brokerage - INTUITIVE SURGICAL, INC. CMN (ISRG)	X		6/7/2017	6/14/2017	X
GS Brokerage - ALPHABET INC. CMN CLASS A (GOOGL)	X		6/7/2017	6/14/2017	X
GS Brokerage - AMBEV S A SPONSORED ADP CMN (ABEV)	X		6/7/2017	6/14/2017	X
GS Brokerage - VALERO ENERGY CORPORATION CMN (VLO)	X		5/30/2017	5/31/2017	X
GS Brokerage - CARDINAL HEALTH INC CMN (CAH)	X		5/30/2017	5/31/2017	X
GS Brokerage - ACUTY BRANDS INC CMN (AVI)	X		5/30/2017	5/31/2017	X
GS Brokerage - ALEXION PHARMACEUTICALS INC CMN (ALXN)	X		5/30/2017	5/31/2017	X
GS Brokerage - GILEAD SCIENCES CMN (GILD)	X		5/30/2017	5/31/2017	X
GS Brokerage - GENERAL ELECTRIC CO CMN (GE)	X		5/30/2017	5/31/2017	X
GS Brokerage - CVS HEALTH CORP CMN (CVS)	X		5/30/2017	5/31/2017	X
GS Brokerage - FIRSTENERGY CORP CMN (FE)	X		5/30/2017	5/31/2017	X
GS Brokerage - EXPRESS SCRIPTS HOLDINGS CMN (ESRX)	X		5/30/2017	5/31/2017	X
GS Brokerage - OCCIDENTAL PETROLEUM CORP CMN (OXY)	X		5/30/2017	5/31/2017	X
GS Brokerage - FORD MOTOR COMPANY CMN (F)	X		5/30/2017	5/31/2017	X
Rooney Capital, LLC (Private Investments, Naples, FL):					
Morgan Stanley - WISCONSIN ST HEALTH & EDL FACSAUTH REV REF RATE:A/A+ 5.000% DUE:2030-08-15 (97712DDK1)	X		6/7/2017	6/14/2017	X
Morgan Stanley - GREENVILLE HOSP SYS S C HOSP PACS REV RATE:A/A+ 5.000% DUE:2027-05-01 (396080R5)	X		6/6/2017	6/14/2017	X
Morgan Stanley - SAN JACINTO TEX RIV AUTH SPL PROJ REV REF RATE:N/A/A 5.000% DUE:2030-10-01 (79805STO2)	X		5/30/2017	5/31/2017	X
Energy Holdings, LLC (Naples, FL): oil and gas well investments - Sale of wells	X		5/16/2017	5/16/2017	X
Due from Energy Holdings, LLC - Partial payment received	X		5/17/2017	5/17/2017	X