

United States Senate

## Financial Disclosures

## Annual Report for Calendar 2018

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

Filed 05/15/2019 @ 10:03 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? **No**

## 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 (Required Minimum Distribution)	Mitch IRA MLPA Louisville, Kentucky	\$8,480.00
2	Spouse	Other (Pay-out of Deferred Compensation - Deferred Stock Units Vesting)	Wells Fargo & Company San Francisco, CA	> \$1,000
3	Spouse	Other (Pay-out of Deferred Compensation - Deferred Stock Units Vesting)	Vulcan Materials 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**

	Asset	Asset Type	Owner	Value	Income Type	Income
1	<b>Republic Bank and Trust</b> (Louisville, KY) <i>Type: Checking,</i>	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)
2	<b>MNNAX - Victory Munder Multi-Cap A</b>	Trust General Trust	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$5,001 - \$15,000
3	<b>VHCAX-Vanguard Capital Opportunity Adm (NASDAQ)</b>	Trust General Trust	Self	\$250,001 - \$500,000	Excepted Investment Fund,	\$15,001 - \$50,000
4	<b>VSIAX-Vanguard Small Cap Value Index Admiral (NASDAQ)</b>	Trust General Trust	Self	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
5	<b>VFIAX-Vanguard 500 Index Admiral (NASDAQ)</b>	Trust General Trust	Self	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
6	<b>A. Mitchell McConnell, Jr. Revocable Trust</b>	Trust General Trust	Self			
6.1	<b>Merrill Lynch</b> (Louisville, KY) <i>Type: Money Market Account,</i>	Bank Deposit	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
7	<b>Mitch IRA MLPA</b>	Retirement Plans IRA	Self			
7.1	<b>Bank of America</b> (Louisville, Kentucky) <i>Type: IRA Cash Accounts,</i>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.2	<b>SCPB-SPDR Barclays Short Term Corp Bd ETF (NYSEArca)</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.3	<b>VCSH - Vanguard Short-Term Corporate Bond ETF (NASDAQ)</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.4	<b>IWM-iShares Russell 2000</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.5	<b>SPY - SPDR S&amp;P 500 ETF</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7.6	<b>VO-Vanguard Mid-Cap ETF</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
8	<b>Vanguard 529 College Savings Plan</b> <i>Institution: Vanguard</i>	Education Savings Plans 529 College Savings Plan	Self			

	Asset	Asset Type	Owner	Value	Income Type	Income
8.1	<b>Vanguard Aggressive Growth Portfolio (Age Based)</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
9	<b>Vanguard 529 College Savings Plan</b> <i>Institution: Vanguard</i>	Education Savings Plans 529 College Savings Plan	Self			
9.1	<b>Vanguard Aggressive Growth Portfolio (Age Based)</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
10	<b>VMMXX-Vanguard Money Market Reserves (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
11	<b>VMSXX - Vanguard Municipal Money Market Fund</b>	Mutual Funds Mutual Fund	Joint	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$15,001 - \$50,000
12	<b>VFIAX-Vanguard 500 Index Admiral (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$5,000,001 - \$25,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
13	<b>Real Property with Carriage House Rental</b> <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	<b>UBS Pension Trust (9 items)</b>	Trust General Trust	Spouse			
14.1	<b>UBS (uninvested cash held by UBS)</b> (Washington, DC) <i>Type: Checking,</i>	Bank Deposit	Spouse	None (or less than \$1,001)	Interest,	None (or less than \$201)
14.2	<b>WGIFX-American Funds Capital World Gr&amp;Inc F2 (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
14.3	<b>SDSCX-Dreyfus/The Boston Co Sm/Md Cp Gr I (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
14.4	<b>FEGIX-First Eagle Gold I (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
14.5	<b>PEQPX-Principal Equity Income P (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
14.6	<b>GFFFX-American Funds Growth Fund of Amer F2 (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
14.7	<b>DPFFX-Delaware Diversified Income Instl (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
14.8	<b>TGBAX-Templeton Global Bond Adv (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
14.9	<b>PGDPX - Principal Global Div Inc P (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
15	<b>(Heritage Foundation 403(b)) SWGXX - Schwab Government Money Fund -</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
16	<b>(Heritage Foundation 403(b)) VFIAX-Vanguard 500 Index Admiral</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
17	<b>(Heritage Foundation 403(b)) PREIX-T. Rowe Price Equity Index 500 (NASDAQ)</b> <i>Filer comment: Previously only noted as "Retirement;" but also part of "Heritage Foundation 403(b)."</i>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
18	<b>(Heritage Foundation Retirement) SWGXX - Schwab Government Money Fund</b>	Mutual Funds Mutual Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
19	<b>(Heritage Foundation Retirement) ARTKX-Artisan International Value Investor</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
20	<b>(Heritage Foundation Retirement) BARAX-Baron Asset Retail</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
21	<b>(Heritage Foundation Retirement) FAIRX-Fairholme</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
22	<b>(Heritage Foundation Retirement) LSBDX-Loomis Sayles Bond Instl</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
23	<b>(Heritage Foundation Retirement) OAKMX-Oakmark I</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
24	<b>(Heritage Foundation Retirement) RSEIX-Royce Special Equity Instl</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
25	<b>(Heritage Foundation Retirement) SLASX-Selected American Shares S</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
26	<b>(Heritage Foundation Retirement) PRMSX-T. Rowe Price Emerging Markets Stock</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
27	<b>(Heritage Foundation Retirement) VGSLX-Vanguard REIT Index Adm</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
28	<b>(Heritage Foundation Retirement) WIIBX - Segall Bryant &amp; Hamill Plus Bond Fund Institutional</b> <i>Filer comment: Security name change in 2018; formerly "(Heritage Foundation Retirement) WIIBX-Westcore Plus Bond Institutional"</i>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
29	<b>(Retirement) Deutsch VSI Capital Growth - Mutual of America</b> <i>Filer comment: Tax Deferred Annuity</i>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
30	<b>SunTrust Solid Choice Banking</b> (Washington, DC) <i>Type: Checking,</i>	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
31	<b>SunTrust Advantage Money Market Account</b> (Washington, DC) <i>Type: Money Market Account,</i>	Bank Deposit	Joint	\$250,001 - \$500,000	Interest,	\$201 - \$1,000
32	<b>Suntrust Business Checking (Firebird International LLC)</b> (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	\$250,001 - \$500,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
33	<b>Suntrust Business Money Market Performance (Firebird International LLC)</b> (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	\$50,001 - \$100,000	Interest,	\$201 - \$1,000
34	<b>Suntrust Personal Savings Account</b> (Washington, DC) <i>Type:</i> Savings,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
35	<b>UBS IRA (7 items)</b>	Retirement Plans IRA	Spouse			
35.1	<b>WGIFX-American Funds Capital World Gr&amp;Inc F2 (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
35.2	<b>FEGIX-First Eagle Gold I (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
35.3	<b>PEQPX-Principal Equity Income P (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
35.4	<b>RSPYX-RS Partners Y (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
35.5	<b>GFFFX-American Funds Growth Fund of Amer F2 (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
35.6	<b>DPFFX-Delaware Diversified Income Instl (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
35.7	<b>TGBAX-Templeton Global Bond Adv (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
36	<b>Scottrade</b> (Washington, DC) <i>Type:</i> Brokerage Sweep Account, Checking,	Bank Deposit	Spouse	None (or less than \$1,001)	Interest,	None (or less than \$201)
37	<b>TRBCX-T. Rowe Price Blue Chip Growth (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
38	<b>PRITX-T. Rowe Price International Stock Fd (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000

	Asset	Asset Type	Owner	Value	Income Type	Income
39	<b>RPMGX-T. Rowe Price Mid-Cap Growth (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$15,001 - \$50,000
40	<b>PRSCX-T. Rowe Price Science &amp; Tech (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$5,001 - \$15,000
41	<b>OTCFX-T. Rowe Price Small-Cap Stock (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$5,001 - \$15,000
42	<b>(Pension Trust) VUSXX - Vanguard Treasury Money Market</b> <i>Filer comment:</i> Converted within the Pension Trust from Vanguard 500 Index to Vanguard Treasury Money Market in 2018.	Mutual Funds Mutual Fund	Spouse	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	None (or less than \$201)
43	<b>VGIAX-Vanguard Growth &amp; Income Adm (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
44	<b>VMSXX - Vanguard Municipal Money Market Fund</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
45	<b>VFIAX-Vanguard 500 Index Admiral (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$15,001 - \$50,000
46	<b>(IRA) VFIAX-Vanguard 500 Index Admiral (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
47	<b>WFC-Wells Fargo &amp; Company (NYSE)</b>	Corporate Securities Stock	Spouse	\$500,001 - \$1,000,000	Dividends,	\$15,001 - \$50,000
48	<b>Wells Fargo &amp; Company/phantom stock (Director Deferred Compensation)</b> <i>Company:</i> Wells Fargo & Company (San Francisco, CA) <i>Description:</i> Phantom stock (Director Deferred Compensation)	Deferred Compensation	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
49	<b>Vulcan Materials Deferred Compensation</b> <i>Filer comment:</i> All vested in April 2018 - no more deferred compensation.	Deferred Compensation Deferred Compensation - Other	Spouse			
49.1	<b>VMC - Vulcan Materials Company</b>	Corporate Securities Stock	Spouse	\$250,001 - \$500,000	Dividends,	\$2,501 - \$5,000

	Asset	Asset Type	Owner	Value	Income Type	Income
50	<b>UBS CSSP (via Ingersoll-Rand)</b>	Deferred Compensation Deferred Compensation - Other	Spouse			
50.1	<b>IR-Ingersoll-Rand Plc</b>	Corporate Securities Stock	Spouse	\$100,001 - \$250,000	Dividends,	\$2,501 - \$5,000
51	<b>MNNAX-Victory Munder Growth Opportunities A (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
52	<b>UBS PSP</b>	Trust General Trust	Spouse			
52.1	<b>UBS (uninvested cash held by UBS)</b> (Washington, D.C.) Type: Checking,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
52.2	<b>JHIGX - JHancock International Growth R2</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
52.3	<b>JDVPX - JHancock Disciplined Value R2</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
53	<b>Elaine L Chao Revocable Trust</b> <i>Filer comment:</i> Electron Global was the underlying asset. Redeemed in 2016.	Trust General Trust	Spouse	None (or less than \$1,001)	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? **No**

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
1	03/05/2018	Spouse	WFC	Wells Fargo & Company	Purchase	\$1,001 - \$15,000	Dividend Reinvestment
2	06/01/2018	Spouse	WFC	Wells Fargo & Company	Purchase	\$1,001 - \$15,000	Dividend Reinvestment
3	09/06/2018	Spouse	WFC	Wells Fargo & Company	Purchase	\$1,001 - \$15,000	Dividend Reinvestment
4	12/05/2018	Spouse	WFC	Wells Fargo & Company	Purchase	\$1,001 - \$15,000	Dividend Reinvestment



## 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	Self	<u>MNNAX</u>	Victory Munder Multi-Cap Fund Class A	Purchase	12/19/2018	\$1,001 - \$15,000	Capital Gains Reinvestment
2	Self	<u>MNNAX</u>	Victory Munder Multi-Cap Fund Class A	Purchase	12/19/2018	\$1,001 - \$15,000	Dividend Reinvestment
3	Self	--	Vanguard Aggressive Growth Portfolio (Age Based)	Purchase	12/03/2018	\$1,001 - \$15,000	--
4	Self	--	Vanguard Aggressive Growth Portfolio (Age Based)	Purchase	12/03/2018	\$1,001 - \$15,000	--
5	Self	<u>VHCAX</u>	Vanguard Capital Opportunity Fund Admiral Shares	Purchase	12/18/2018	\$1,001 - \$15,000	Dividend Reinvestment
6	Self	<u>VHCAX</u>	Vanguard Capital Opportunity Fund Admiral Shares	Purchase	12/18/2018	\$15,001 - \$50,000	Capital Gains Reinvestment
7	Self	<u>VSIAX</u>	Vanguard Small Cap Value Index Fund Admiral Shares	Purchase	03/21/2018	\$1,001 - \$15,000	Dividend Reinvestment
8	Self	<u>VSIAX</u>	Vanguard Small Cap Value Index Fund Admiral Shares	Purchase	06/21/2018	\$1,001 - \$15,000	Dividend Reinvestment
9	Self	<u>VSIAX</u>	Vanguard Small Cap Value Index Fund Admiral Shares	Purchase	09/27/2018	\$1,001 - \$15,000	Dividend Reinvestment

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
10	Self	<u>VSIAX</u>	Vanguard Small Cap Value Index Fund Admiral Shares	Purchase	12/21/2018	\$1,001 - \$15,000	Dividend Reinvestment
11	Self	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	03/23/2018	\$1,001 - \$15,000	Dividend Reinvestment
12	Self	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	06/27/2018	\$1,001 - \$15,000	Dividend Reinvestment
13	Self	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	09/25/2018	\$1,001 - \$15,000	Dividend Reinvestment
14	Self	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	12/14/2018	\$1,001 - \$15,000	Dividend Reinvestment
15	Spouse	<u>TRBCX</u>	T. Rowe Price Blue Chip Growth Fund	Purchase	12/13/2018	\$1,001 - \$15,000	Dividend Reinvestment
16	Spouse	<u>PRITX</u>	T. Rowe Price International Stock Fund	Purchase	12/17/2018	\$1,001 - \$15,000	Dividend Reinvestment
17	Spouse	<u>RPMGX</u>	T. Rowe Price Mid-Cap Growth Fund	Purchase	12/13/2018	\$15,001 - \$50,000	Dividend Reinvestment
18	Spouse	<u>PRSCX</u>	T. Rowe Price Science and Technology Fund	Purchase	12/14/2018	\$1,001 - \$15,000	Dividend Reinvestment
19	Spouse	<u>OTCFX</u>	T. Rowe Price Small-Cap Stock Fund	Purchase	12/13/2018	\$1,001 - \$15,000	Dividend Reinvestment
20	Joint	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	03/23/2018	\$15,001 - \$50,000	Dividend Reinvestment

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
21	Joint	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	06/27/2018	\$15,001 - \$50,000	Dividend Reinvestment
22	Joint	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	09/25/2018	\$15,001 - \$50,000	Dividend Reinvestment
23	Joint	<u>VFIAX</u>	Vanguard 500 Index Fund Admiral Shares	Purchase	12/14/2018	\$15,001 - \$50,000	Dividend Reinvestment
24	Spouse	<u>VGIAX</u>	Vanguard Growth and Income Fund Admiral Shares	Purchase	06/15/2018	\$1,001 - \$15,000	Dividend Reinvestment
25	Spouse	<u>VGIAX</u>	Vanguard Growth and Income Fund Admiral Shares	Purchase	12/18/2018	\$15,001 - \$50,000	Dividend Reinvestment
26	Spouse	--	(IRA) VFIAX - Vanguard 500 Index Admiral	Purchase	03/23/2018	\$1,001 - \$15,000	Dividend Reinvestment
27	Spouse	--	(IRA) VFIAX - Vanguard 500 Index Admiral	Purchase	06/27/2018	\$1,001 - \$15,000	Dividend Reinvestment
28	Spouse	--	(IRA) VFIAX - Vanguard 500 Index Admiral	Purchase	09/25/2018	\$1,001 - \$15,000	Dividend Reinvestment
29	Spouse	--	(IRA) VFIAX - Vanguard 500 Index Admiral	Purchase	12/14/2018	\$1,001 - \$15,000	Dividend Reinvestment
30	Spouse	--	JDVPX - John Hancock Funds Disciplined Value Fund Class R2 (UBS PSP)	Purchase	12/17/2018	\$1,001 - \$15,000	Dividend Reinvestment

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
31	Spouse	--	WGIFX - American Funds Capital World Gr&Inc F2 (UBS Pension Trust)	Purchase	12/19/2018	\$1,001 - \$15,000	Dividend Reinvestment
32	Spouse	--	GFFFX - American Funds The Growth Fund of America Class F2 (UBS Pension Trust)	Purchase	12/24/2018	\$1,001 - \$15,000	Dividend Reinvestment
33	Spouse	--	PEQPX - Principal Equity Income (UBS Pension Trust)	Purchase	12/20/2018	\$1,001 - \$15,000	Dividend Reinvestment
34	Spouse	--	PEQPX - Principal Equity Income (UBS IRA)	Purchase	12/20/2018	\$1,001 - \$15,000	Dividend Reinvestment
35	Spouse	--	WGIFX - American Funds Capital World Gr&Inc F2 (UBS IRA)	Purchase	12/19/2018	\$1,001 - \$15,000	Dividend Reinvestment
36	Spouse	--	RSPYX - Victory RS Partners Fund Class Y (UBS IRA)	Purchase	12/20/2018	\$1,001 - \$15,000	Dividend Reinvestment
37	Spouse	--	GFFFX - American Funds The Growth Fund of America Class F2 (UBS IRA)	Purchase	12/24/2018	\$1,001 - \$15,000	Dividend Reinvestment

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
38	Spouse	<u>MNNAX</u>	Victory Munder Multi-Cap Fund Class A	Purchase	12/19/2018	\$1,001 - \$15,000	Capital Gains Reinvestment
39	Spouse	<u>MNNAX</u>	Victory Munder Multi-Cap Fund Class A	Purchase	12/19/2018	\$1,001 - \$15,000	Dividend Reinvestment
40	Spouse	--	(Pension Trust) VFIAX - Vanguard 500 Index Fund Admiral Shares	Sale (Full)	04/02/2018	\$1,000,001 - \$5,000,000	Converted within the Pension Trust from Vanguard 500 Index to Vanguard Treasury Money Market

## Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **Yes**

#	Date	Recipient	Gift	Value	From
1	02/14/2018	Self	17th Annual Waterways Council Inc. Leadership Award plaque	\$468.97	Waterways Council Washington, DC
2	10/20/2018	Self	Veterans of Foreign Wars (VFW) Gold Medal of Merit	\$398.00	The Veterans of Foreign Wars of the United States Kansas City, Mo
3	09/06/2018	Self	Plaque from Minor League Baseball in recognition of leadership and public service	\$826.28	Minor League Baseball St. Petersburg, FL

## Part 6. Travel

Did you, your spouse, or dependent child receive any **reportable travel**? **No**

## Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable 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)	None

## 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.*