

UNITED STATES SENATE
COMMITTEE ON THE JUDICIARY

QUESTIONNAIRE FOR JUDICIAL NOMINEES

PUBLIC

1. **Name**: State full name (include any former names used).

Colm Felix Connolly

2. **Position**: State the position for which you have been nominated.

United States District Judge for the District of Delaware

3. **Address**: List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

Morgan, Lewis & Bockius LLP
1007 North Orange Street, Suite 501
Wilmington, Delaware 19801

4. **Birthplace**: State year and place of birth.

1964; Wilmington, Delaware

5. **Education**: List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

1988 – 1991: Duke University School of Law; J.D., May 1991.

1986 – 1987: London School of Economics; M.Sc., November 1987.

1982 – 1986: University of Notre Dame; B.A., May 1986.

May 1985 – July 1985: Georgetown University; no degree received.

6. **Employment Record**: List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for your services. Include the name and address of the employer and job title or description.

2009 – present

Morgan Lewis & Bockius LLP
1007 North Orange Street, Suite 501
Wilmington, Delaware 19801
Partner

2001 –2009
United States Attorney's Office
1007 North Orange Street, Suite 700
Wilmington, Delaware 19899
United States Attorney for the District of Delaware

2000
Robert Greenwald Productions, Inc.
10510 Culver Boulevard
Culver City, California 90232
Technical Consultant, "And Never Let Her Go"

1999 –2001
Morris, Nichols, Arsht & Tunnell LLP
1201 North Market Street
Wilmington, Delaware 19899
Partner

1992 –1999
United States Attorney's Office
1007 North Orange Street, Suite 700
Wilmington, Delaware 19899
Assistant United States Attorney, 1993 – 1999
Law Clerk, 1992 –1993

1991 – 1992
The Honorable Walter K. Stapleton
United States Court of Appeals for the Third Circuit
844 King Street
Wilmington, Delaware 19801
Law Clerk

1991
Morgan, Lewis & Bockius, LLP
1701 Market Street
Philadelphia, Pennsylvania 19103
Summer Associate

1990 – 1991
Duke University School of Law
210 Science Drive

Durham, North Carolina 27708
Teaching/Research Assistant for Professor Sara Sun Beale

1990
Skadden, Arps, Slate, Meagher & Flom, LLP
One Rodney Square
920 North King Street
Wilmington, Delaware 19801
Summer Associate

1990
Simpson Thacher & Bartlett LLP
425 Lexington Avenue
New York, New York 10017
Summer Associate

1989
Skadden, Arps, Slate, Meagher & Flom, LLP
One Rodney Square
920 North King Street
Wilmington, Delaware 19801
Summer Associate

1987 – 1988
State of Delaware Department of Finance
Carvel State Building
820 North French Street, 8th Floor
Wilmington, Delaware 19801
Special Assistant to the Secretary

1986
Citicorp
8750 Doral Boulevard
Miami, Florida 33178
Paid Intern

Other Affiliations (uncompensated)

2009 – present
Ministry of Caring
115 East 14th Street
Wilmington, Delaware 19801
Board Member

2017 – present
Ursuline Academy

1106 Pennsylvania Avenue
Wilmington, Delaware 19806
Board Member

1999 – 2001, 2009 – 2015
Delaware Hospice, Inc.
3515 Silverside Road, Suite 100
Wilmington, Delaware 19810
Board Member

1997 – 2001
Wilmington Music School
4101 North Washington Street
Wilmington, Delaware 19802
Board Member

1999 – 2001
St. Francis Healthcare Services Foundation
701 North Clayton Street
Wilmington, Delaware 19805
Board Member

1994 – 1996
Mom's House, Inc. of Wilmington
1718 Howland Street
Wilmington, Delaware 19805
President, Board of Trustees

7. **Military Service and Draft Status:** Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social security number) and type of discharge received, and whether you have registered for selective service.

I have not served in the military. I registered for the selective service upon turning 18.

8. **Honors and Awards:** List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

Fellow, American College of Trial Lawyers, 2016 – present

Member, American Law Institute, 2011– present

In Honor of Colm F. Connolly, 155 Cong. Rec. 143 (2009) (statement of Rep. Castle).

Dr. James Tilton Distinguished Service Award – University and Whist Club

(Wilmington, Delaware), 2002

Director's Award for Superior Performance as an Assistant United States Attorney, 1996

Duke University School of Law Scholarship, 1988 – 1991

International Academy of Trial Lawyers Student Advocacy Award, 1991

Law & Contemporary Problems, Editor and Senior Editor, 1989 – 1991

Moot Court Board, Duke University School of Law, 1989-1991

Notre Dame Scholar Award, 1982

Recipient of honorary degree from Archmere Academy (Wilmington, Delaware), 1982

9. **Bar Associations:** List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

American Bar Association, 1991 – 2009

American College of Trial Lawyers

Fellow, 2016 – present

Vice Chair of Delaware Chapter, 2017– present

American Law Institute, 2011 – present

Delaware State Bar Association, 1993 – present

Federal Bar Association (District of Delaware), 2009 – present

Richard S. Rodney American Inn of Court, 1994 – 1996

St. Thomas More Society, 1994 – 2001

Advisory Committee for U.S. District Court, District of Delaware

Chair, 2015 – present

Member, 2003 – 2008

Delaware Supreme Court Access to Justice Commission, 2015 – present

Third Circuit Committee on Model Jury Instructions, 2005 – 2007

Third Circuit Federal Public Defender Merit Selection Committee for the District of Delaware, 2000

Victims Advisory Committee of the Delaware Criminal Justice Council Co-Chair, 2001 – 2006

10. **Bar and Court Admission:**

- a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

Delaware, 1993

There has been no lapse in membership.

- b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

Supreme Court of the United States, 2000

United States Court of Appeals for the Third Circuit, 1993

United States District Court for the District of Delaware, 1993

There have been no lapses in membership.

11. **Memberships:**

- a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held. Include clubs, working groups, advisory or editorial boards, panels, committees, conferences, or publications.

Delaware Hospice

Board member, 1999 – 2001, 2009 – 2015

Volunteer, 1986 – 1999

Duke University School of Law Alumni Association, 1991 – present

Duke University School of Law Barrister's Club, 1991 – present

DuPont Country Club, 2017 – present

Ministry of Caring

Board member, 2001 – present

Mom's House of Wilmington

President of trustees, 1994 – 1996

National Association of Former United States Attorneys, 2009 – present

Notre Dame Club of Delaware, off and on between 1991 and present

St. Francis Healthcare Services Foundation

Board member, 1999 – 2001

University of Notre Dame Alumni Association, off and on between 1991 and present

University of Notre Dame Sorin Society, 2016 – present

Wilmington Music School

Board member, 1997 – 2001

- b. The American Bar Association's Commentary to its Code of Judicial Conduct states that it is inappropriate for a judge to hold membership in any organization that invidiously discriminates on the basis of race, sex, or religion, or national origin. Indicate whether any of these organizations listed in response to 11a above currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

To the best of my knowledge, none of the organizations listed above currently discriminates or formerly discriminated on the basis of race, sex, religion or national origin, either through formal membership requirements or the practical implementation of membership policies.

12. Published Writings and Public Statements:

- a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

with John Gorman and Amy Dudash, *Federal Circuit Clarifies Venue Law in the Wake of TC Heartland*, Morgan Lewis Litigation Law Flash, Sept. 22, 2017. Copy supplied.

with John Gorman and Amy Dudash, *Delaware Chief Judge Issues Guidelines for Venue in Patent Cases*, Nat'l L. Rev., Sept. 18, 2017. Copy supplied.

Electronic Surveillance, in Corporate Criminal Defense: Compliance, Investigation, and Trial Strategies (Eric W. Sitarchuk et al. eds., 2010). Copy supplied.

with Jason Belmont Conn, *Practical Considerations for Responding to Government Formatting Requests Relating to Paper Document Collections*, Crim. Litig. (ABA), Winter 2010, at 1. Copy supplied.

with Jennifer L. Dereka, *The Department of Justice Creates an Intellectual Property Task Force to Combat the Rise in Intellectual Property-Related Crimes*, Morgan Lewis Litigation Law Flash, Feb. 16, 2010. Copy supplied.

The Delaware Court of Chancery Adds Voluntary Arbitration to Its ADR Options, Morgan Lewis Litigation Law Flash, April 23, 2009. Copy supplied.

- b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.

None.

- c. Supply four (4) copies of any testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.

None.

- d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports about the speech or talk. If you do not have a copy of the speech or a transcript or recording of your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

From 2001 through 2008, as United States Attorney for the District of Delaware, I frequently spoke about the work of my office and law enforcement issues. Most of my talks were delivered extemporaneously or using notes which I did not keep. During that time, I gave more than two dozen talks on internet safety to teachers, school administrators, parent groups, and other organizations.

I have listed below speaking events which I specifically recall or for which I have located records.

September 7, 2017, Panelist, "And Never Let Her Go: Movie Night at the DSBA," CLE sponsored by the Delaware State Bar Association. I have no notes, transcripts or recording. I spoke about *State v. Capano*. The address of the Delaware State Bar Association is 405 King Street, Wilmington, Delaware 19801.

August 24, 2017, Speaker, Press Conference, Delaware Supreme Court Access to Justice, Wilmington, Delaware. I spoke about the policing survey sponsored by the Access to Justice Commission. I have no notes, transcripts or recording. The address of the Delaware Supreme Court is 400 King Street, Wilmington, Delaware 19801. Press coverage supplied.

May 23, 2017: Presenter, "Cross-Examination," United States District Court for the District of Delaware Federal Trial Practice Seminar, Wilmington, Delaware. PowerPoint presentation supplied.

November 13, 2015: Panel Moderator, Policing Strategies Informational Hearing sponsored by Delaware Supreme Court's Access to Justice Commission. Video available at <http://courts.delaware.gov/supreme/access.aspx>.

May 2, 2015: Speaker, *State v. Capano*, American College of Trial Lawyers Maryland Chapter Meeting, Baltimore, Maryland. PowerPoint presentation supplied.

February 26, 2013: Webinar Participant, "2013 Proxies and Compensation Discussion and Analysis: Managing the Risk of Litigation and Evaluating Best Practices." PowerPoint presentation supplied.

June 20, 2012: Speaker, Investiture of Judge Rudolph Contreras, United States District Court for the District of Columbia, Washington, D.C. Transcript and press report supplied.

October 20, 2011: Speaker, Investiture of Magistrate Judge Christopher J. Burke, United States District Court for the District of Delaware, Wilmington, Delaware. Copy of speech supplied.

February 19, 2010: Panelist, 15th Annual Professionalism and Ethics Seminar co-sponsored by the Delaware State Bar Association and the St. Thomas More Society, Wilmington, Delaware. I spoke concerning ethics and professionalism issues that arise during the course of internal investigations. I have no notes, transcripts or recording. The address of the Delaware State Bar Association is 405 N King St, Wilmington, Delaware 19801.

November 5, 2009: Panelist, "How to Handle an Internal Investigation Without Getting Burned," Pennsylvania Business Lawyers' Institute CLE, Philadelphia, Pennsylvania. I have no notes, transcripts or recording. The address of the Pennsylvania Bar Institute is 100 Penn Square East, 10th Floor, Suite 1010, Philadelphia, Pennsylvania 19107.

October 30, 2009: Panelist, "Critical Steps for Effective Environmental Crisis Management," Delaware Valley Area Association of Corporate Counsel's (DELVACCA's) Institute Series CLE, Philadelphia, Pennsylvania. I have no notes, transcripts or recording. The address of DELVACCA is Post Office Box 38, Fairless Hills, Pennsylvania 19030.

September 28, 2007: Panelist, "The Role and Responsibility of the Prosecutor," Duke University School of Law Conference titled "The Court of Public Opinion: The Practice and Ethics of Trying Cases in The Media." I have no notes, transcripts or recording. The address of Duke Law School is 210 Science Drive, Durham, North Carolina 27708

September 14, 2007: Speaker, Investiture of Magistrate Judge Leonard P. Stark, United States District Court for the District of Delaware, Wilmington, Delaware. Copy of speech supplied.

August 10, 2007: Speaker, Naval Criminal Investigative Service Cold Case Homicide Seminar, Annapolis, Maryland. I spoke about *State v. Capano*. Copy of PowerPoint presentation supplied.

March 20, 2007: Presenter, Capital School District Cyber Safety Workshop, Dover, Delaware. Copy of PowerPoint presentation I likely used is supplied. Press report supplied.

March 5, 2007: Speaker, Academy of Life Long Learning, Wilmington, Delaware. I spoke about identity theft. Copy of PowerPoint presentation I likely used is supplied.

November 9, 2006: Speaker, Tower Hill School Parents' Meeting, Wilmington Delaware. I have no notes, transcript, or recording. Press report supplied. The address of Tower Hill School is 2813 West 17th Street, Wilmington, Delaware 19806.

June 7, 2006: Panelist, The Mid-Atlantic Regional Committee and the Philadelphia Young Lawyer's Division of the ABA White Collar Crime Committee Corporate Investigations and Criminal Liability CLE, Philadelphia, Pennsylvania. I participated in a panel discussion about white collar criminal investigation issues. I have no notes, transcripts or recording. The address of the ABA is 1050 Connecticut Avenue, NW, Suite 400, Washington DC 20036.

May 5, 2006: Speaker, Colonial Rotary Club, Dover, Delaware. I believe I spoke about the dangers of methamphetamine and law enforcement efforts to combat this threat. Copy of PowerPoint presentation I may have used is supplied.

April 4, 2006: Speaker, M.O.T. Charter School P.T.O. meeting, Middletown, Delaware. I gave a presentation about internet safety. Copy of PowerPoint presentation I likely used previously supplied for March 20, 2007 event. Press report supplied.

March 28, 2006: Speaker, Georgetown-Millsboro Rotary Club, Georgetown, Delaware. I spoke about the dangers of methamphetamine and law enforcement efforts to combat this threat. Copy of PowerPoint presentation I likely used previously supplied for May 5, 2006 event. Press report supplied.

March 16, 2006: Presenter, National Advocacy Center, U.S. Department of Justice, Columbia, South Carolina. I gave a presentation on perjury, obstruction of justice, and contempt. I have no notes, transcript or recording. The address of the Department of Justice is 950 Pennsylvania Avenue, NW, Washington, DC 20530.

March 13, 2006: Speaker, Milford Rotary Club, Milford, Delaware. I spoke about the mission of the U.S. Attorney's Office, methamphetamine, and internet crimes. Copy of PowerPoint presentation I likely used previously supplied for May 5, 2006 event.

March 9, 2006: Speaker, Newark Morning Rotary Club, Newark, Delaware. I spoke about the mission of the U.S. Attorney's Office, methamphetamine, and internet crimes. Copy of PowerPoint presentation I likely used previously supplied for May 5, 2006 event.

March 8, 2006: Speaker, Wilmington West Rotary Club, Wilmington, Delaware. I spoke about internet safety. Copy of PowerPoint presentation I likely used previously supplied for March 20, 2007 event.

March 4, 2006: Speaker, Medical Symposium, MBNA Bowman Conference Center, Newark, Delaware. I spoke about the United States Attorney's Office's healthcare fraud initiatives. Copy of PowerPoint presentation I likely used is supplied.

January 27, 2006: Speaker, Rehoboth Beach-Lewes Sunrise Rotary Club, Rehoboth Beach, Delaware. I spoke about the dangers of methamphetamine and law enforcement efforts to combat this threat. Copy of PowerPoint presentation I likely used previously supplied for May 5, 2006 event.

June 15, 2005: Speaker, Middletown Charter School graduation ceremony, Middletown, Delaware. Copy of speech supplied.

May 14, 2005: Panelist, Regional Meeting of the American College of Trial Lawyers, Wilmington, Delaware. I participated in a panel discussion on lawyer-client and work product privileges. I have no notes, transcripts or recording. The address of the American College of Trial Lawyers is 1300 Dove Street, Suite 150, Newport Beach, California 92660.

April 28, 2005: Panelist, DOJ National Conference on Missing Persons, Philadelphia, Pennsylvania. I participated in a panel discussion on prosecuting murder cases without a body. I have no notes, transcripts or recording. The address of the Department of Justice is 950 Pennsylvania Avenue, NW, Washington, DC 20530.

February 10, 2005: Speaker, Delaware State Police Academy graduation ceremony, Dover, Delaware. Copy of speech supplied.

November 15, 2004: Academy of Life Long Learning, Wilmington, Delaware. Then-U.S. Attorney Patrick Meehan (Eastern District of Pennsylvania) and I spoke about our offices and law enforcement issues. I have no notes, transcripts or recording. The address of the Academy of Life Long Learning is 2700 Pennsylvania Avenue, Wilmington, Delaware 19806.

August 31, 2004: Brandywine Rotary Club, Wilmington, Delaware. I spoke about the mission and priorities of the U.S. Attorney's Office. I have no notes, transcripts or recording. The address of the Brandywine Rotary Club is 200 Naaman's Road, Wilmington Delaware 19810.

March 2, 2004: Speaker, Women's Correctional Institute graduation ceremony, Wilmington, Delaware. In my commencement address, I believe I spoke about the importance of education. I have no notes, transcripts or recording. The address of the Women's Correctional Institute is 660 Baylor Boulevard, New Castle, Delaware 19720.

January 11, 2004: Panelist, Patriot Act forum, Unitarian Universalist Fellowship of Newark, Newark, Delaware. I participated in a panel discussion of the Patriot Act. I have no notes, transcripts or recording. The address of the Unitarian Universalist Fellowship of Newark is 420 Willa Road, Newark, Delaware 19711.

November 23, 2003: Panelist, Patriot Act forum, First Unitarian Church, Wilmington, Delaware. I participated in a panel discussion on the Patriot Act. I have no notes, transcripts or recording. The address of the First Unitarian Church is 730 Halstead Road, Wilmington, Delaware 19803.

November 17, 2003: Presenter, Academy of Life Long Learning forum, Wilmington, Delaware. I believe I spoke about the Patriot Act. The PowerPoint presentation I may have used is supplied.

October 15, 2003: League of Women Voters of Greater Dover forum, Dover, Delaware. I participated in this debate on the Patriot Act. I have no notes, transcripts or recording. The address of the League of Women Voters of Delaware is 2400 West 17th Street, Clash Wing, Room 1, Lower Level, Wilmington, Delaware 19806. Press reports supplied.

May 29, 2003: Speaker, United States Attorney's Office for the Eastern District of Pennsylvania Retreat, Stone Harbor, New Jersey. I spoke about *State v. Capano*. Copies of my notes are supplied.

April 25, 2003: Speaker, Wilmington Police Academy graduation ceremony, Wilmington, Delaware. Copy of speech supplied.

January 26, 2003: Participant, WILM Patriot Act Debate, Ingleside Residence, Wilmington, Delaware. I cannot recall who participated in this debate with me. I have no notes, transcripts or recording. WILM (a radio station) no longer exists.

January 22, 2003: Speaker, Delaware Valley Chapter of the Association of Corporate Counsel, Philadelphia, Pennsylvania. Copy of speech supplied.

December 4, 2002: Participant, Bar Bench Media Conference Dinner, Wilmington, Delaware. I believe I spoke about *State v. Capano* as part of a panel discussion of "Professionalism in High Profile Cases." I have no notes, transcripts or recording. The address of the Delaware State Bar Association is 405 North King Street, Wilmington, Delaware 19801.

November 12, 2002: Panelist, Third Circuit Judicial Conference, St. Thomas, Virgin Islands. I spoke as part of a panel discussion on loss calculations under the Sentencing Guidelines. Notes I used for discussion supplied.

November 7, 2002: Presenter, Delaware State Police Homicide Conference, Woodside, Delaware. I spoke about *State v. Capano*. Copy of PowerPoint presentation I likely used previously supplied for August 10, 2007 event.

November 7, 2002: Speaker, Dr. James Tilton Award Dinner, University & Whist Club, Wilmington, Delaware. Copy of speech supplied.

July 17, 2002: Speaker, Middletown-Odessa Rotary Club, Middletown, Delaware. I spoke about the mission and priorities of the U.S. Attorney's Office. I have no notes, transcripts or recording. The address of the Middletown-Odessa Rotary Club is Post Office Box 201 Middletown, Delaware 19709.

June 24, 2002: Speaker, Dover-Downtown Rotary Club, Dover, Delaware. I spoke about the mission and priorities of the U.S. Attorney's Office. I have no notes, transcripts or recording. The main address for Rotary International is

One Rotary Center, 1560 Sherman Avenue, Evanston, Illinois 60201.

May 29, 2002: Speaker, Nanticoke/Seaford Rotary Club, Seaford, Delaware. I spoke about the mission and priorities of the U.S. Attorney's Office. I have no notes, transcripts or recording. The address of the Nanticoke/Seaford Rotary Club is Post Office Box 1257, Seaford, Delaware 19973.

May 18, 2002: Speaker, St. Thomas More Society Annual Dinner, Wilmington, Delaware. Copy of speech supplied.

April 27, 2002: Panelist, Regional Meeting of the American College of Trial Lawyers, Wilmington, Delaware. I participated in a panel discussion on the federal courts and United States Attorney's Office. I have no notes, transcripts or recording. The address of the American College of Trial Lawyers is 1300 Dove Street, Suite 150, Newport Beach, California 92660.

April 18, 2002: Speaker, Boys Scouts Distinguished Citizen Award Dinner, Dover, Delaware. Copy of speech supplied.

March 30, 2002: Speaker, Common Cause Annual Meeting, Wilmington, Delaware. Copy of speech supplied.

January 31, 2002: Speaker, Wilmington Rotary Club, Wilmington, Delaware. Copies of speech and press report supplied.

January 24, 2002: Speaker, Eastern Armed Robbery Conference, Delaware River and Bay Authority Police Barracks, Wilmington, Delaware. I cannot recall the substance of my remarks at this training conference for police officers and federal agents nor can I recall who sponsored the conference.

November 16, 2001: Speaker, United States Attorney Swearing-in Ceremony, United States District Court, Wilmington, Delaware. Copy of speech supplied.

November 8, 2001: Speaker, District Court Naturalization Ceremony, United States District Court, Wilmington, Delaware. Copy of speech supplied.

November 2, 2001: Speaker, Rally for Firefighters, Rodney Square, Wilmington, Delaware. Copy of speech supplied.

October 30, 2001: Speaker, "Children and Firearms" training seminar, Wilmington Riverfront Center, Wilmington, Delaware. Copy of speech supplied.

June 10, 2000: Speaker, Caesar Rodney High School graduation ceremony, Dover, Delaware. Copy of speech supplied.

June 1, 2000: Speaker, Campaign Kick-off remarks for Senator William V. Roth,

Jr., Wilmington, Delaware. Copy of speech supplied.

April 18, 2000: Speaker, Newark Lions Club Dinner for Police Officer of the Year, Newark, Delaware. Copy of speech supplied.

October 16, 1999: Speaker, Delaware State Police Academy graduation ceremony, Delaware State University, Dover, Delaware. Copy of speech supplied.

October 13, 1999: Speaker, Young Republicans Luncheon, Wilmington, Delaware. Copies of speech and media articles on speech supplied.

Outside of wholly personal speeches or talks I may have given – for example, toasts, eulogies, and religious instruction or commentary – the above represents my best recollection of all speeches or talks I have delivered since high school.

- e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you.

I was interviewed for a number of television specials concerning the murder of Anne Marie Fahey, the subsequent investigation, and the trial of Thomas Capano:

Behind Mansion Walls: Rich Justice (Investigation Discovery television broadcast July 11, 2011). Video available at <https://www.youtube.com/watch?v=R3RMUeT3GmM>.

48 Hours: Fatal Attraction (CBS television broadcast July 22, 2002). Video available at <https://www.youtube.com/watch?v=cownGEICO60>.

Arrest and Trial: The Capano Case (Syndicated television broadcast May 7, 2001). Video available at <https://www.youtube.com/watch?v=JhD9Nb1uwk8&t=897s>.

The FBI Files: Deadly Obsession (Discovery Channel television broadcast Sept. 20, 2000). Video available at <https://www.youtube.com/watch?v=itw1PkOKzzQ&t=9s>.

Dateline: The Ice Chest Murder (NBC television broadcast Sept. 1, 1999). Video available at <https://www.youtube.com/watch?v=IGQG78JtvGE&t=8s>.

I was interviewed by the authors of four books about the murder of Anne Marie Fahey, the subsequent investigation, and the trial of Thomas Capano:

Ann Rule, *And Never Let Her Go* (1999)

Cris Barrish and Peter Meyer, *Fatal Embrace* (1999)

George Anastasia, *The Summer Wind* (1999)

Brian J. Karem, *Above the Law* (1999)

I was interviewed by WHYY TV shortly after Thomas Capano was sentenced for the murder of Anne Marie Fahey. I do not recall the exact date of the interview. An excerpt of that interview is available at <https://www.youtube.com/watch?v=9quJ76ODd8k>.

I have listed below other interviews I, or others acting on my behalf, have been able to recollect or find through research:

Patricia Talorico and Esteban Parra, *20 years After Capano Arrest, Juror Breaks Silence*, News J. (Wilmington, Del.), Nov. 19, 2017, at 9A. Copy supplied.

Patricia Talorico, *Prosecutor: Tom Capano Tried to Take Hit Out on Me*, News J. (Wilmington, Del.), Nov. 19, 2017, at 11A. Copy supplied.

Melissa Steele, *Survey Seeks Public Views on Delaware's Justice System*, Cape Gazette (Sussex Cty., Del.), Oct. 12, 2017. Copy supplied.

Ann Cherry, *New Survey Seeks to Gauge Public Attitudes Towards Police in Delaware*, WDEL, Aug. 24, 2017. Copy supplied.

Steve Volk, *Jack Wheeler Helped Build the Vietnam Wall and Worked for the White House and the Pentagon. How did He End up Dead in a Landfill?*, Wash. Post Mag., May 28, 2017, at A29. Copy supplied.

Karl Baker, *Man Deported 4 Times Found in Del.*, News J. (Wilmington, Del.), May 9, 2016, at 3A. Copy supplied.

James Fisher, *Bail, 3-Strike Laws Face Criticism*, News J. (Wilmington, Del.), Dec. 2, 2015, at 1A. Copy supplied.

Jonathan Starkey, *Republicans Find Candidate to Face Denn*, News J. (Wilmington, Del.), June 22, 2014, at 1A. Copy supplied.

Sean O'Sullivan, *Connolly Decides Not to Join Attorney General Race*, News J. (Wilmington, Del.), May 9, 2014. Copy supplied.

Anne Cherry and Allan Loudell, *Former Prosecutor Colm Connolly Won't Run for AG*, WDEL, May 7, 2014. Copy supplied.

Celia Cohen, *Colm Connolly Says No*, Del. Grapevine, May 7, 2014. Copy supplied.

Cris Barrish, *Delaware Supreme Court Chief Justice Myron Steele to Retire*, News J. (Wilmington, Del.), Sept. 6, 2013. Copy supplied.

Adam Taylor and Sean O'Sullivan, *Gordon Sees His Past in Positive Light*, News J. (Wilmington, Del.), Sept. 2, 2012. Copy supplied.

Pullar's Part in Famous Murder Case. Friend's Love Affair Made Her Uneasy, Nat'l Bus. Rev., July 27, 2012. Copy supplied.

Mortgage Registration Company Wants Suit Dismissed, AP Alert, May 30, 2012. Copy supplied.

TSD Q&A: Colm Connolly, Town Square of Del., Feb., 2012. Copy supplied.

Cris Barrish, *Pentagon Aide's Death Stumps Police a Year After Grisly Find*, News J. (Wilmington, Del.), Dec. 31, 2011. Copy supplied. This story was reprinted in multiple outlets.

Cris Barrish, *Thomas Capano Found Dead in Prison Cell*, News J. (Wilmington, Del.), Sept. 20, 2011. Copy supplied.

Larry King, *Convicted Delaware Killer Capano Dies in Prison*, Phila. Inquirer, Sept. 20, 2011. Copy supplied.

Amy Cherry, Frank Gerace, and Allan Lo, *Capano Died of Cardiac Arrest*, WDEL, Sept. 20, 2011. Copy supplied.

Randall Chase, *Del. Killer Capano Found Dead in Prison*, Associated Press, Sept. 19, 2011. Copy supplied.

Frank Gerace, *Capano Prosecutor Reacts to Capano's Passing*, WDEL, Sept. 19, 2011. Copy supplied.

Cris Barrish, *Timeline: The Death of John P. Wheeler III*, News J. (Wilmington, Del.), May 11, 2011. Copy supplied.

John Shiffman, *Man in Mysterious Death in Del. Buried at Arlington*, Phila. Inquirer, April 29, 2011. Copy supplied.

Cris Barrish, *Wheeler Slaying 'Might Never Be Solved'*, News J. (Wilmington, Del.), April 10, 2011. Copy supplied.

Months of Mystery, News J. (Wilmington, Del.), April 10, 2011.

Cris Barrish, *New Clues Deepen Wheeler Mystery*, News J. (Wilmington, Del.), Feb. 22, 2011. Copy supplied.

Peter Eisler, *Who Killed Jack Wheeler?*, USA Today, Feb. 22, 2011, at 1A. Copy supplied.

Susan Candiotti and Ross Levitt, *Unsolved Murder Case Frustrates Widow of Ex-Federal Official*, CNN.com, Feb. 21, 2011. Copy supplied.

Cris Barrish, *Wheeler Will be Buried at Arlington in Late April*, News J. (Wilmington, Del.), Feb. 17, 2011. Copy supplied.

Cris Barrish, *Police Revisit Wheeler's House*, News J. (Wilmington, Del.), Feb. 16, 2011. Copy supplied. This story was reprinted in multiple outlets.

Mike Hellgren, *Mystery Surrounds Death of Former Presidential Advisor*, CBS Baltimore, Feb. 11, 2011. Copy supplied.

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Rita Farrell, *Delaware Jury Finds Capano Guilty of Murdering Mistress*, Reuters, Jan. 17, 1999. Copy supplied. This story was reprinted in multiple outlets.

Tom Capano Gets Guilty Verdict (ABC News television broadcast Jan. 17, 1999). Transcript supplied.

George Anastasia, *Clashes over Control in Capano Trial; the Lawyer Accused of Murder is in a Showdown with the Man He Sees as His Chief Nemesis*, Phila. Inquirer, Jan. 3, 1999, at E1. Copy supplied.

Kelli Caplan, *Police Find \$50,000 in Cocaine*, Daily Press (Newport News, VA),

March 13, 1997. Copy supplied.

Debbie Goldberg, *Delaware Disappearance Still a Mystery; More than 5 Weeks Later, Authorities Haven't Found Aide to Governor*, Wash. Post, Aug. 5, 1996. Copy supplied.

Sandy Bauers, *Diary Shows Fahey had Sought to End Affair in it, She Expresses How Her Feelings for Thomas J. Capano had Changed, Fahey was Last Seen with Him*, Phila. Inquirer, Aug. 2, 1996. Copy supplied.

13. **Judicial Office:** State (chronologically) any judicial offices you have held, including positions as an administrative law judge, whether such position was elected or appointed, and a description of the jurisdiction of each such court.

In February 2016, the United States District Court for the District of Delaware appointed me to the position of Special Master. To date, I have declined every request to serve as a Special Master in specific cases because of conflicts. On or about the day I was nominated, I informed the court of my intention to resign as a Special Master.

- a. Approximately how many cases have you presided over that have gone to verdict or judgment?

- i. Of these, approximately what percent were:

jury trials:	_____ %
bench trials:	_____ % [total 100%]
civil proceedings:	_____ %
criminal proceedings:	_____ % [total 100%]

- b. Provide citations for all opinions you have written, including concurrences and dissents.
- c. For each of the 10 most significant cases over which you presided, provide: (1) a capsule summary of the nature the case; (2) the outcome of the case; (3) the name and contact information for counsel who had a significant role in the trial of the case; and (3) the citation of the case (if reported) or the docket number and a copy of the opinion or judgment (if not reported).
- d. For each of the 10 most significant opinions you have written, provide: (1) citations for those decisions that were published; (2) a copy of those decisions that were not published; and (3) the names and contact information for the attorneys who played a significant role in the case.
- e. Provide a list of all cases in which certiorari was requested or granted.
- f. Provide a brief summary of and citations for all of your opinions where your

decisions were reversed by a reviewing court or where your judgment was affirmed with significant criticism of your substantive or procedural rulings. If any of the opinions listed were not officially reported, provide copies of the opinions.

- g. Provide a description of the number and percentage of your decisions in which you issued an unpublished opinion and the manner in which those unpublished opinions are filed and/or stored.
- h. Provide citations for significant opinions on federal or state constitutional issues, together with the citation to appellate court rulings on such opinions. If any of the opinions listed were not officially reported, provide copies of the opinions.
- i. Provide citations to all cases in which you sat by designation on a federal court of appeals, including a brief summary of any opinions you authored, whether majority, dissenting, or concurring, and any dissenting opinions you joined.

14. **Recusal:** If you are or have been a judge, identify the basis by which you have assessed the necessity or propriety of recusal (If your court employs an "automatic" recusal system by which you may be recused without your knowledge, please include a general description of that system.) Provide a list of any cases, motions or matters that have come before you in which a litigant or party has requested that you recuse yourself due to an asserted conflict of interest or in which you have recused yourself sua sponte. Identify each such case, and for each provide the following information:

- a. whether your recusal was requested by a motion or other suggestion by a litigant or a party to the proceeding or by any other person or interested party; or if you recused yourself sua sponte;
- b. a brief description of the asserted conflict of interest or other ground for recusal;
- c. the procedure you followed in determining whether or not to recuse yourself;
- d. your reason for recusing or declining to recuse yourself, including any action taken to remove the real, apparent or asserted conflict of interest or to cure any other ground for recusal.

As noted in response to Question 13, in February 2016, I was appointed by the United States District Court for the District of Delaware. Pursuant to this appointment, when the court requests a special master for a case, I am notified. Upon receiving the notification I review the docket for the case. To date I have declined to serve because in each case I, or my firm, previously represented, or represented at the time I was requested to serve as a special master, one of the parties to the case (though not necessarily in the litigation at issue).

15. **Public Office, Political Activities and Affiliations:**

- a. List chronologically any public offices you have held, other than judicial offices, including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

1987 – 1988:

Special Assistant to the Secretary of Finance – Department of Finance, State of Delaware. I do not recall who appointed me.

2001 – 2009:

United States Attorney, District of Delaware. I was appointed by President George W. Bush, after confirmation by the United States Senate.

- b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

2000 Senate campaign of Bill Roth: I was Senator Roth's New Castle County Honorary Chairman and a member of his finance committee. My responsibilities consisted of introducing Senator Roth at his New Castle County campaign kick-off rally and attending finance committee meetings.

2000 Congressional campaign of Mike Castle: I was a member of Congressman Castle's finance committee. My responsibilities consisted of attending finance committee meetings and soliciting contributions to Congressman Castle's campaign.

2000 Presidential campaign of George W. Bush: I was co-chair of Delaware Lawyers for Bush. My responsibilities consisted of recruiting lawyers in Delaware to support President Bush's campaign.

16. **Legal Career:** Answer each part separately.

- a. Describe chronologically your law practice and legal experience after graduation from law school including:
- i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

From 1991 to 1992, I served as a law clerk to Judge Walter K. Stapleton, U.S. Court of Appeals for the Third Circuit,

- ii. whether you practiced alone, and if so, the addresses and dates;

I have never practiced alone.

- iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

1991

Morgan, Lewis & Bockius LLP
1701 Market Street
Philadelphia, Pennsylvania 19103
Summer Associate

1992 – 1999

United States Attorney's Office
1007 North Orange Street, Suite 700
Wilmington, Delaware 19899
Assistant United States Attorney, 1993 – 1999
Law Clerk, 1992 – 1993

1999 – 2001

Morris, Nichols, Arsht & Tunnell LLP
1201 North Market Street
Wilmington, Delaware 19899
Partner

2001 – 2009

United States Attorney's Office
1007 North Orange Street, Suite 700
Wilmington, Delaware 19899
United States Attorney for the District of Delaware

2009 – present

Morgan, Lewis & Bockius LLP
1007 North Orange Street, Suite 501
Wilmington, Delaware 19801
Partner

- iv. whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant matters with which you were involved in that capacity.

I have never served as a mediator or arbitrator.

- b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.

From 1992 to 1999, I represented the United States as an Assistant United States Attorney ("AUSA"). With the exception of habeas corpus matters, my caseload was entirely criminal. I handled all phases of criminal matters, including grand jury and non-grand jury investigations, pre-trial litigation, trials, and appeals. I prosecuted more than 100 defendants for various offenses, including money laundering, mail and wire fraud, tax evasion, robbery, extortion, arson, civil rights violations, and drug and firearms crimes. At the beginning of my tenure as an AUSA, I focused on appellate work. I argued ten cases and briefed more than 40 cases on behalf of the United States in the Third Circuit.

In late 1997, I was cross-designated by Delaware's Attorney General to serve as a Special Assistant Attorney General to co-prosecute a first-degree murder case, *State v. Capano*, in Delaware Superior Court. I had supervised the 18-month federal investigation which led to the indictment of the defendant by the State of Delaware in that case. For most of 1998 and the first two months of 1999, I worked almost exclusively on the Capano case. In February 1999, after a 15-week trial, the jury returned a verdict of guilty and recommended the death penalty.

From 1999 to 2001, I worked in private practice as a partner with Morris, Nichols, Arsht & Tunnell, LLP. My caseload generally consisted of civil litigation matters, intellectual property disputes, and internal corporate investigations.

From 2001 until 2009, I represented the United States in both criminal and civil matters as United States Attorney. As United States Attorney, I set the priorities for the U.S. Attorney's Office and reviewed all major cases prosecuted and defended by the office. I also handled personally a number of cases before the grand jury, in the District Court, and on appeal.

Since 2009, I have worked in private practice as a partner with Morgan, Lewis & Bockius LLP. My caseload generally consists of civil litigation matters, intellectual property disputes, and white collar matters.

- ii. your typical clients and the areas at each period of your legal career, if any, in which you have specialized.

From 1992 to 1999, as an AUSA, and from 2001 to 2009, while serving as the United States Attorney, my client was the United States.

From 1999 to 2001 as a partner with Morris, Nichols, Arsht & Tunnell

LLP, and since 2009 as a partner at Morgan, Lewis & Bockius LLP my clients have included multinational corporations (*e.g.*, Nationwide, Motiva, and LG Electronics), local companies and law firms (*e.g.*, Bayhealth Medical Center and Potter, Anderson & Corroon LLP), emerging high-tech companies (*e.g.*, AstroPower, Inc. and EM Photonics, Inc.), government agencies (*e.g.*, the Delaware River and Bay Authority), and individuals (*e.g.*, a former CEO of financial institution, a doctor who was subject of federal healthcare investigation, a 17-year old Cameroonian boy who sought and won political asylum, and the founder of an alternative fuel company).

I consider myself a general litigator and do not purport to specialize in any substantive area of the law.

- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally, or not at all. If the frequency of your appearances in court varied, describe such variance, providing dates.

Approximately 85% of my practice has been in litigation.

As an Assistant United States Attorney from 1992 to 1999, I appeared in court frequently. I generally appeared in the United States District Court once or twice a week. I also presented oral argument before the U.S. Court of Appeals for the Third Circuit on 10 occasions.

In my first two years of private practice from 1999 to 2001, I appeared less frequently in court. I had two patent trials, represented a solar power company in a court-supervised mediation, represented a partnership in a court-supervised arbitration, and made approximately 20 appearances on behalf of clients in discovery matters.

As United States Attorney from 2001 to 2009, I appeared in court frequently. I co-prosecuted a seven-day jury trial of a major drug dealer, argued two appeals before the U.S. Courts of Appeals for the Second and Third Circuits, and handled numerous hearings and arguments in the District Court.

Since 2009, I have appeared in court occasionally. I have tried one case in the District Court for Delaware (2013), one case in state court (2014), and a month-long arbitration in Texas (2016); orally argued two appeals in the Delaware Supreme Court (2015); appeared regularly in hearings in patent cases in the District Court for Delaware; and appeared occasionally in state court hearings and federal court criminal proceedings.

- i. Indicate the percentage of your practice in:

1. federal courts: 90%

2. state courts of record: 10%
3. other courts: 0%
4. administrative agencies: 0%

ii. Indicate the percentage of your practice in:

1. civil proceedings: 50%
2. criminal proceedings: 50%

- d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel.

I have tried to verdict or judgment approximately 14 cases in the United States District Court for Delaware and two cases in Delaware's Superior Court. In 12 of those cases I was lead or solo counsel; in four of the cases I was associate or local counsel.

I have also tried an unknown number of criminal and/or violation cases as an Assistant United States Attorney in United States Magistrate Court. I would estimate the number of such trials to be somewhere between 20 and 50. Finally, I have tried an unknown number of Protection from Abuse Cases in the Family of Court of Delaware. I would estimate the number of such trials to be somewhere between 20 and 50.

i. What percentage of these trials were:

1. jury: 80%
2. non-jury: 20%

- e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any oral argument transcripts before the Supreme Court in connection with your practice.

Brief *Amicus Curiae* of the Delaware River and Bay Authority in Support of Petition for Writ of Certiorari, *Delaware River Port Authority v. Fraternal Order of Police Penn-Jersey Lodge 30*, 530 U.S. 1275 (2000) (No. 99-1758) (cert. denied). Brief available at 2000 WL 34014336.

17. **Litigation:** Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the

case. Also state as to each case:

- a. the date of representation;
 - b. the name of the court and the name of the judge or judges before whom the case was litigated; and
 - c. the individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.
1. *State v. Capano*, No. 9711006198 (Del. Super. Ct.).

I led an 18-month, multi-agency federal grand jury investigation into the disappearance of the Governor's scheduling secretary, Anne Marie Fahey. The evidence uncovered by that investigation resulted in the indictment of the defendant by the State of Delaware for her murder. I was cross-designated as a Special Assistant Attorney General to co-prosecute the defendant, a millionaire and prominent attorney. The defendant was convicted and sentenced to death after a 15-week jury trial. The case was notable because there was no body, no weapon, and no witness to the killing.

Dates of representation: 1997 – 1999

Presiding Judge: Hon. William Swain Lee

Co-Counsel

Hon. Ferris W. Wharton
[formerly State Prosecutor for the State of Delaware]
Superior Court of Delaware
Leonard L. Williams Justice Center
500 North King Street
Wilmington, Delaware 19801
(302) 255-0654

Opposing Counsel

Joseph S. Oteri
Oteri, Weinberg & Lawson
20 Park Plaza, Suite 905
Boston, Massachusetts 02116
(617) 227-3700

Charles M. Oberly, III
[formerly with Oberly, Jennings & Drexler]
208 Sulky Circle
Wilmington, Delaware 19810

Eugene J. Maurer, Jr.

Eugene J. Maurer, Jr., P.A.
1201-A King Street
Wilmington, Delaware 19801
(302) 652-7900

2. *United States v. Hamulik*, Nos. 95-06-LON and 94-73-LON (D. Del.).

I led the investigation and prosecution of this case, the first federal criminal civil rights case Delaware history. Defendant Hanulik pled guilty to civil rights and firearms charges and was sentenced as an armed career criminal to 15 years imprisonment. Defendant Hobbs pled guilty to a civil rights conspiracy charge.

Dates of representation: Approximately 1994 – 1995.

Presiding Judge: Hon. Joseph J. Longobardi

Opposing Counsel

Joseph Funk
Address unknown

Penny Marshall
[formerly Chief Delaware Federal Public Defender]
Legal Tech Vision
702 North 3rd Street, #21
Philadelphia, Pennsylvania 19123
(302) 469-1529

3. *In re Grand Jury*, 111 F.3d 1083 (3d Cir. 1997).

I wrote the briefs and argued for the United States in this appeal from a contempt order issued by the District Court for the District of Delaware against a witness before a federal grand jury. The Court of Appeals (Sloviter, J.) held, as a matter of first impression, that the government's grant of use and derivative use immunity whereby it promised the grand jury witness that it would not use her testimony, or the fruits thereof, in any criminal proceeding against her husband or seek an indictment of her husband before the same grand jury before which she was testifying, was sufficient to defeat her privilege against adverse spousal testimony and to compel the witness to testify.

Dates of Representation: 1996 – 1997

U.S. Court of Appeals for the Third Circuit Panel: Hon. Dolores K. Sloviter; Hon. Walter K. Stapleton; Hon. Ruggero Aldisert.

Opposing Counsel

James A. Backstrom, Jr.
[formerly with Backstrom & Riley]

Backstrom Law
1515 Market Street, Suite 1200
Philadelphia, Pennsylvania 19102
(215) 864-7797

4. *In re Grand Jury*, 111 F.3d 1066 (3d Cir. 1997).

I wrote the briefs and argued for the United States in this appeal from the District Court's denial of motions by two victims of a privately executed wiretap to quash a subpoena *duces tecum* to obtain for the grand jury recordings of unlawfully intercepted communications. The District Court had denied the motions on the ground that the government played no role in the interception of the recordings at issue and therefore the government's "clean hands" removed the recordings from the federal wiretap law's prohibition on the introduction of unlawfully intercepted communications into a grand jury proceeding. The Third Circuit (Stapleton, J.) held that there is no "clean hands" exception under the federal wiretap laws and reversed the District Court's decision.

Dates of Representation: 1996 – 1997

U.S. Court of Appeals for the Third Circuit Panel: Hon. Dolores K. Sloviter; Hon. Walter K. Stapleton; Hon. Ruggero Aldisert.

Opposing Counsel

Catherine M. Recker
Welsh & Recker
2000 Market Street, Suite 2903
Philadelphia, Pennsylvania 19103
(215) 972-6430

Charles M. Oberly, III
[formerly with Oberly, Jennings & Drexler]
208 Sulky Circle
Wilmington, Delaware 19810

5. *In re Grand Jury*, 103 F.3d 1140 (3d Cir. 1997)

I wrote the briefs and argued on behalf of the United States in this appeal from the denial of a motion to quash a subpoena requiring the grand jury testimony of the daughter of the target of the grand jury's investigation. The Third Circuit affirmed the District Court's order to compel the daughter's testimony, and held, as a matter of first impression, that it would not recognize a new parent-child privilege.

Dates of Representation: 1996 – 1997.

U.S. Court of Appeals for the Third Circuit Panel: Hon. Carol Los Mansmann; Hon. Morton I. Greenberg; Hon. Leonard I. Garth

Opposing Counsel

Charles M. Oberly, III
[formerly with Oberly, Jennings & Drexler]
208 Sulky Circle
Wilmington, Delaware 19810

Bartholomew J. Dalton
[formerly with Brandt & Dalton]
Dalton & Associates, P.A.
1106 West 10th Street
Wilmington, Delaware 19806
(302) 652-2050

George H. Seitz, III
[formerly with Prickett, Jones, Elliott, Kristol & Schnee]
Seitz Van Ogtrop & Green, P.A.
222 Delaware Avenue, Suite 1500
Wilmington, Delaware 19899
(302) 888-0600

6. *United States v. Lohoefer*, No. 95-38-RRM (D. Del.), *aff'd*, Nos. 93-7402 and 96-7403 (3d Cir. March 13, 1997)

I acted as sole counsel for the United States in the two-week trial of two defendants on mail fraud, wire fraud, money laundering and tax charges. The case involved more than 1,400 victims of the defendants' telemarketing scheme. A jury convicted the defendants on all counts and the Third Circuit affirmed the defendants' conviction and sentences

Dates of Representation: 1996 – 1997

Presiding Judge: Hon. Roderick R. McKelvie

Opposing Counsel

John S. Malik
100 East 14th Street
Wilmington, Delaware 19801
(302) 427-2247

Thomas A. Foley
1905 Delaware Avenue
Wilmington, Delaware 19806
(302) 658-3077

7. *United States v. Renfro*, 46 F.3d 1120 (3d Cir. 1994)

I wrote the brief and argued on behalf the United States in this appeal from the defendant's conviction and sentence for bribery. The defendant was a prominent Philadelphia lawyer who attempted to bribe a witness in a federal criminal proceeding. The Third Circuit affirmed the conviction and sentence.

Dates of Representation: 1994

U.S. Court of Appeals for the Third Circuit Panel: Hon. Edward R. Becker; Hon. Carol L. Mansmann; Hon. Samuel A. Alito

Opposing Counsel

Ramsey Clark
36 East 12th Street, 6th floor
New York, New York 10003
(212) 475-3232

8. *United States v. Stewart*, No. 02-CR-62-JJF-1 (D. Del.)

I co-prosecuted the defendant on drug distribution, money laundering, and racketeering charges. The case was challenging because it was a "dry" drug conspiracy – that is, there were no drug seizures to corroborate the testimony of the cooperating witnesses. After an eight-day trial, the jury convicted the defendant on all counts alleged in the indictment. The District Court sentenced the defendant to life imprisonment.

Dates of Representation: 2003

Presiding Judge: Hon. Joseph J. Farnan

Co-Counsel

Keith M. Rosen
[formerly with the U.S. Attorney's Office for Delaware]
Norton Rose Fulbright US LLP
799 9th Street, NW, Suite 1000
Washington, DC 20001

Opposing Counsel

Samuel C. Stretton
301 South High Street
West Chester, Pennsylvania 19381-3231
(610) 696-4243

9. *United States v. Min*, No. 06-121-SLR (D. Del.)

I co-prosecuted the defendant for his theft of trade secrets valued at more than \$400 million from his former-employer, the DuPont Company. I oversaw the investigation, drafted the prosecution memorandum, drafted and negotiated the plea agreement, assisted

in drafting the government's sentencing briefs, and represented the government at the plea and sentencing hearings.

Dates of Representation: 2006 – 2007

Presiding Judge: Hon. Susan L. Robinson

Co-Counsel

Robert F. Kravetz
Assistant United States Attorney
United States Attorney's Office
1007 North Orange Street, Suite 700
Wilmington, Delaware 19801
(302) 573-6277

Opposing Counsel

Michael M. Mustokoff
Duane Morris LLP
30 South 17th Street
Philadelphia, Pennsylvania 19103
(215) 979-1810

10. *Nationwide Emerging Managers, LLC v. NorthPointe Holdings, LLC*, 112 A.3d 878 (Del. 2015)

I wrote the brief and argued on behalf of three Nationwide entities in this appeal from a Superior Court judgment which had imposed a \$10.4 million cash judgment and canceled a \$19 million note held by a Nationwide affiliate. The case arose out of Nationwide's sale of its majority ownership of an investment advisory firm, NorthPointe Capital, and Nationwide's subsequent termination of NorthPointe's sub-advisory agreements for certain mutual funds. The Superior Court (Rocanelli, J.) ruled that Nationwide had violated the express terms of the applicable purchase agreement as well as the implied covenant of good faith. I was counsel for the Nationwide entities at trial. The Supreme Court reversed, holding that the plain and unambiguous terms of the purchase agreement permitted Nationwide to terminate the sub-advisory agreements in question.

Dates of Representation: 2009 – 2015

Supreme Court of the State of Delaware Panel: Hon. Leo Strine; Hon. James T. Vaughn; Hon. J. Travis Laster (by designation)

Opposing Counsel

Bartholomew J. Dalton
Dalton & Associates, P.A.
1106 West 10th Street
Wilmington, Delaware 19806

(302) 652-2050

Roger D. Young
Young & Associates
27725 Stansbury Boulevard, Suite 125
Farmington Hills, Michigan 48334
(248) 353-8620

18. **Legal Activities:** Describe the most significant legal activities you have pursued, including significant litigation which did not progress to trial or legal matters that did not involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organizations(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege.)

As United States Attorney for Delaware (2001 – 2009), I supervised more than 40 employees, including 16 Assistant United States Attorneys. I spent the majority of my time on case-related matters. I also established the priorities and policies of the office within the parameters set by the Department of Justice. I devoted considerable time and effort to working with federal investigative agencies, local and state police, and the Delaware Attorney General's Office to address in a cooperative manner law enforcement and terrorism issues in our state.

I have spent significant time and effort in private practice (1999 – 2001, 2009 – present) representing individuals and corporations in confidential criminal investigations that did not result in charges against my clients. I have also conducted internal investigations for numerous corporate clients. From 1999 to 2001, I conducted a number of internal investigations for the Delaware River & Bay Authority ("DRBA"), a bi-state entity for which my firm at the time (Morris, Nichols, Arsht & Tunnell, LLP) served as Delaware counsel. I also provided the DRBA with advice on contract, employment, and constitutional issues and conducted numerous training sessions with members of the DRBA's police department on a variety of subjects.

I have also spent significant time and effort in private practice working on litigation matters that did not progress to trial. Those matters include:

State v. MERSCORP, Inc., C.A. No. 6987-CS (Del Ch.). In 2012, I was the principal author of the briefs filed in support of the defendants' motion to dismiss and I argued orally the motion to dismiss before then-Chancellor Strine. The case was settled and the complaint was dismissed after Chancellor Strine expressed doubts at the conclusion of oral argument as to the viability of the deceptive trade practices claims alleged in the State's complaint.

Motiva Enters. LLC v. SR Int'l Bus. Ins. Co. PLC, C.A. Nos. 12-1097 and 12-1460 (D. Del.). In 2013, I co-wrote the briefs and conducted oral argument on behalf of Motiva in

these consolidated removal proceedings for two actions which arose out of an insurance coverage dispute among Motiva and 14 insurance companies. Judge Stark granted Motiva's motions to remand the two actions to the Delaware Superior Court and the Court of Chancery, and the Third Circuit affirmed that ruling. The case was ultimately resolved on a confidential basis.

Salomone v. Wolfe, C.A. No. 16C-05-229 PRW CCLD (Del. Super. Ct.). In 2016, I represented all defendants, a law firm partnership and several partners, in this dispute with a former partner that was resolved on a confidential basis.

Johnson v. Preferred Prof. Ins. Co., C.A. No. N13C-01-119 RBY (Del. Super. Ct.). From 2013 through 2015, I represented defendants Mason Turner and, until a potential conflict arose, his former law firm, Prickett, Jones & Elliott, P.A., in this fraud case which arose out of allegations concerning a 2008 medical negligence case in which Turner represented a physician's assistant. The case was resolved in November 2015 on a confidential basis.

Fangman v. Mitchell, C.A. No. N16C-03-014 VLM (Del. Super. Ct.). I represented defendants Aramark Educational Services, LLC and the University of Delaware in this case which arose out of the alleged sexual assault of a special needs employee at a dining facility run by Aramark on the grounds of the University. The case was ultimately resolved on a confidential basis.

United States v. Crusader Servs., Corp., 2:12-cr-00644-DMC (D.N.J.). From 2009 to 2012, I represented Royal Bank America and its subsidiaries, including Crusader Services Corporation, in connection with an investigation by the Antitrust Division of the United States Department of Justice into alleged antitrust violations arising out of tax lien auctions in New Jersey. The matter was resolved in 2012 with the entry of guilty pleas in federal court by Crusader Corporation Services and its co-owner and President, Robert Stein.

Delaware patent cases. Since 2010, I have acted as Delaware counsel in more than 30 patent cases which did not, or have not yet, progressed to trial.

During the past three years, I have spent considerable time and effort on two significant pending litigation matters that have not yet progressed to trial:

United States v. Tommaso, Cr. No. 15-602-2 (E.D. Pa.). I represent defendant Ralph Tommaso in this criminal fraud and tax case.

In re Wilmington Trust Secs. Litig., Civil Action No. 10-cv-00990-SLR (D. Del.). I represent defendant Ted Cecala, the former CEO of Wilmington Trust Company, in this class action securities fraud case.

19. **Teaching:** What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe

briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

I have not taught any courses.

20. **Deferred Income/ Future Benefits**: List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services, firm memberships, former employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business interest.

I am vested in the Federal Employee Retirement System, the Thrift Savings Plan, the Morgan, Lewis & Bockius LLP Tax-Saver Retirement Plan, the Morgan, Lewis & Bockius LLP Defined Contribution Plan, and the Morgan, Lewis & Bockius LLP Cash Balance Plan.

21. **Outside Commitments During Court Service**: Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service with the court? If so, explain.

No.

22. **Sources of Income**: List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

See attached Financial Disclosure Report.

23. **Statement of Net Worth**: Please complete the attached financial net worth statement in detail (add schedules as called for).

See attached Net Worth Statement.

24. **Potential Conflicts of Interest**:

- a. Identify the family members or other persons, parties, categories of litigation, and financial arrangements that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

The parties likely to present potential conflicts-of-interest during my initial service as a District Court Judge would include Morgan, Lewis & Bockius LLP and individuals and entities with whom I have a financial, familial, and/or

personal relationship. To identify parties which present an actual or potential conflict-of-interest and to address any conflict were it to arise, I would consult with the Code of Conduct for United States Judges, 28 U.S.C. § 455, and the relevant rules, practices, procedures, and personnel of the District Court, the Third Circuit, the Administrative Office of the United States Courts, and the Judicial Conference.

- b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

If confirmed I will carefully review and address any real or potential conflicts by reference to 28 U.S.C. § 455, Canon 3 of the Code of Conduct for United States Judges, and any and all other laws, rules, and practices governing such circumstances.

25. **Pro Bono Work:** An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional workload, to find some time to participate in serving the disadvantaged." Describe what you have done to fulfill these responsibilities, listing specific instances and the amount of time devoted to each.

As an Assistant United States Attorney ("AUSA") and United States Attorney, I served numerous disadvantaged victims of crime, but I am unable to recall specific names of most of these victims and unable to estimate with any degree of accuracy the amount of time I spent working on behalf of these victims. Conflict-of-interest considerations limited my ability to serve in a professional capacity non-victims who were disadvantaged. I did, however, make an effort to serve the disadvantaged in other, non-professional ways. For example, throughout my tenure as an AUSA, I was active with Delaware Hospice, Inc. as a hospice care worker volunteer, special events coordinator, long range planning committee member, and board director; I estimate that I spent an average of 25 to 30 hours per year on these activities. From 1994 to 1996, I served as president of the board of trustees for Mom's House of Wilmington, a non-profit organization which ran a free day-care facility for unwed mothers who were completing their education. During that three-year period, I spent approximately 40 to 50 hours each year attending board meetings, negotiating the purchase of the building to house the day-care center, and working to open the center. In 1997, I joined the board of directors of the Wilmington Music School, a community school dedicated to bringing musical opportunities to the city's diverse population. I estimate that I spent approximately 20 hours per year for the Music School, attending board meetings, giving counsel, and fundraising.

When I first moved to private practice in 1999, I continued to serve on the boards of Delaware Hospice and the Wilmington Music School. I also joined the St. Francis Healthcare Services Foundation in 1999 to help raise funds to support the hospital of St. Francis and, specifically, its outreach efforts with the poor and minority communities in

the city of Wilmington. I estimate that I spent five to ten hours each year attending meetings and giving counsel for the Foundation.

While in private practice in 1999 and 2000, I represented on a pro bono basis Friedrich Ebede in connection with his application for political asylum, which was granted December 14, 2000. Friedrich was then a 17 year-old boy who, at the direction and insistence of his mother, fled his native country of Cameroon in 1999 to escape political persecution. Cameroonian authorities had tortured Friedrich physically and mentally because his father had declared himself a candidate for the presidency of Cameroon in 1997. Friedrich eventually arrived in the United States with less than fifty dollars in his pocket, no family, no friends, and no means of support. His father's whereabouts are unknown, and he has had very limited contact by telephone with his mother, who remains in Cameroon. A family in Wilmington, Delaware opened its home to Friedrich, and a local private school gave him a scholarship to complete his final year of high school. My representation of Friedrich included conducting a factual investigation, researching Cameroon's political situation, drafting Friedrich's asylum application and affidavit, and accompanying Friedrich to his asylum hearing. I spent approximately 35 hours representing Friedrich.

I also represented, on a pro bono basis, during that timeframe Steven Sarbaugh. He was a house painter whom an attorney in Wilmington refused to pay for extensive work Steven did on the attorney's home. I spent approximately 34 hours litigating Steven's case, which settled on favorable terms for him after the Court of Common Pleas ordered the defendant attorney to pay the costs incurred in connection with the attorney's discovery violations.

I was required to resign from all non-profit boards when I became United States Attorney in 2001 and could not represent pro bono clients when I held that position.

Since returning to private practice in 2009, I have devoted at least 20 hours each year to *pro bono* matters. Between 2009 and 2015, most of those matters were protection from abuse cases I prosecuted on behalf of domestic violence victims in Delaware's Family Court. In 2015, at the request of Delaware's Supreme Court, I wrote an *amicus curiae* brief in support of a *pro se* defendant's appeal of his criminal conviction. The Court adopted the argument set forth in that brief and vacated the defendant's conviction (*Grimes v. State*, No. 416, 2013, 2015 WL 2231801 (Del. May 12, 2015)).

In 2016, I devoted approximately 100 hours to two court-sponsored initiatives: (1) Delaware's Access to Justice Commission, and (2) the revision of the Local Rules for the U.S. District Court for the District of Delaware.

Upon moving back to private practice in 2009, I rejoined the Board of Delaware Hospice and also became a board member of the Ministry of Caring. For the past decade, I have been a volunteer at the Ministry's Emmanuel Dining Room, serving breakfast every other Monday morning to homeless and impoverished persons.

26. Selection Process:

- a. Please describe your experience in the entire judicial selection process, from beginning to end (including the circumstances which led to your nomination and the interviews in which you participated). Is there a selection commission in your jurisdiction to recommend candidates for nomination to the federal courts? If so, please include that process in your description, as well as whether the commission recommended your nomination. List the dates of all interviews or communications you had with the White House staff or the Justice Department regarding this nomination. Do not include any contacts with Federal Bureau of Investigation personnel concerning your nomination.

On or about November 28, 2016, I submitted to the office of Senator Tom Carper an Expression of Interest in response to an email solicitation from Senator Carper's office distributed to all members of the Delaware Bar. In the summer of 2017, I was interviewed by a judicial selection commission convened by Senators Carper and Coons. I was subsequently interviewed by Senators Carper and Coons and members of their staffs. I was later informed by Senator Carper's Office that the commission had recommended my nomination and that I would be one of three names submitted by Senators Carper and Coons to the White House Counsel's office.

On August 21, 2017, I was interviewed by members of the White Counsel's Office and the Department of Justice. On September 15, 2017, I was informed by Senator Carper and the White House Counsel's Office that the President had decided to nominate me for the District Court pending completion of a background check. On December 20, 2017, the President submitted my nomination to the Senate.

Throughout this process I have been in contact with attorneys from the White House Counsel's Office and the Office of Legal Policy at the Department of Justice.

- b. Has anyone involved in the process of selecting you as a judicial nominee discussed with you any currently pending or specific case, legal issue or question in a manner that could reasonably be interpreted as seeking any express or implied assurances concerning your position on such case, issue, or question? If so, explain fully.

No.

FINANCIAL DISCLOSURE REPORT
NOMINATION FILINGReport 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 12/01/2017
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 12/20/2017 ☐ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/01/2017
7. Chambers or Office Address Morgan Lewis 1007 N. Orange Street 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Partner	Morgan, Lewis & Bockius, LLP
2. Board Member	Ministry of Caring
3. Board Member	Ursuline Academy
4.	
5.	

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. 2017	Following my separation from Morgan Lewis, I will receive my final partnership distribution to be calculated and fixed as of the date of my withdrawal.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Connolly, Colin F.

Date of Report

12/01/2017

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. 2015	Morgan Lewis partnership allocation	\$957,485.00
2. 2016	Morgan Lewis partnership allocation	\$1,034,534.00
3. 2017	Morgan Lewis partnership allocation	\$1,094,000.00
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. 2016	Skadden law firm salary
2. 2017	Skadden law firm salary
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. exempt				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Connolly, Colm F.

Date of Report

12/01/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☐ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1. exempt		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Connolly, Colm F.

Date of Report

12/01/2017

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	K	T	Exempt				
2. Capital One Money Market Accounts	A	Interest	M	T					
3.									
4. Retirement Savings Plan #1 (H)									
5. - T. Rowe Price Growth Stock Trust A	B	Dividend	K	T					
6. - Vanguard Institutional Index Instl P1	D	Dividend	K	T					
7. - American Funds EuroPacific Growth R6	C	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	C	Dividend	K	T					
12. - DFA US Small Cap Port Instl	B	Dividend	K	T					
13. - Goldman Sachs Global Income Fund Instl	A	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	B	Dividend	L	T					

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

I12 = 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

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting Connolly, Colm F.	Date of Report 12/01/2017
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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)
18. - Dodge & Cox Intl Stock	D	Dividend	L	T					
19. - DFA US Small Cap Port I	D	Dividend	L	T					
20. - Invesco GI Real Estate R5	A	Dividend	L	T					
21. - Vanguard REIT Index Fund Inst	A	Dividend	L	T					
22.									
23. IRA #1 (H)									
24. - Vanguard 500 Index Fund Admiral	E	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. IRA #3 (H)									
32. - Vanguard Federal Money Market Fund	A	Dividend	J	T					
33.									
34. Roth IRA #1 (H)									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Connolly, Colm F.

Date of Report

12/01/2017

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

- | | | | | | |
|--|--|--|--|--|-------------------------|
| 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 | |
| 3. Value Method Codes
(See Column C2) | | | | | |

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting	Date of Report
Connolly, Colm F.	12/01/2017

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)
52. - Vanguard Health Care ETF	A	Dividend	J	T					
53. - Vanguard REIT Index ETF	A	Dividend	J	T					
54. - Vanguard S&P 500 Index ETF	B	Dividend	J	T					
55. - Vanguard Telecom Services ETF	A	Dividend	J	T					
56. - Proteon Therapeutics		None	J	T					
57.									
58. Brokerage Account #2 (H)									
59. - Vanguard Capital Value Fund	A	Dividend	J	T					
60. - Vanguard U.S. Growth Fund Invst CL	A	Dividend	J	T					
61.									
62. Brokerage Account #3 (H)									
63. - International Business Machines	A	Dividend	J	T					
64. - Microsoft Corp.	A	Dividend	J	T					
65.									
66. Brokerage Account #4 (H)									
67. - International Business Machines	A	Dividend	J	T					
68.									

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	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Connolly, Colm F.

Date of Report

12/01/2017

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)
69. 529 #1 (H)									
70. - NY's 529 Aggressive Growth Portfolio	D	Dividend	J	T					
71. - NY's 529 Growth Portfolio	C	Dividend	J	T					
72. - NY's 529 Moderate Growth Portfolio	C	Dividend	K	T					
73.									
74. 529 #2 (H)									
75. - NY's 529 Income Portfolio	A	Dividend	J	T					
76. - NY's 529 Interest Accumulation Portfolio	A	Dividend	J	T					
77.									
78. 529 #3 (H)									
79. - NY's 529 Conservative Growth Portfolio	A	Dividend	J	T					
80. - NY's 529 Income Portfolio	A	Dividend	J	T					
81. - NY's 529 Interest Accumulation Portfolio	A	Dividend	J	T					
82.									
83. 529 #4 (H)									
84. - NY's 529 Conservative Growth Portfolio	D	Dividend	K	T					
85. - NY's 529 Income Portfolio	C	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Connolly, Colm F.

Date of Report

12/01/2017

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)
86. - NY's 529 Aggressive Growth Portfolio	C	Dividend	K	T					
87. - NY's 529 Small-Cap Stock Index Portfolio	C	Dividend	K	T					
88.									
89. 529 #5 (H)									
90. - Fidelity DE Aggressive Growth Portfolio (Fidelity Indx)	D	Dividend	L	T					
91. - Fidelity DE Aggressive Growth Portfolio (Fidelity FDS)	D	Dividend	L	T					
92.									
93. 529 #6 (H)									
94. - Fidelity DE Conservative (Fid. Index)	B	Dividend	K	T					
95. - Fidelity DE Moderate Growth Portfolio (Fidelity Indx)	B	Dividend	K	T					
96.									
97. 529 #7 (H)									
98. - Fidelity DE Conservative (Fid. Index)	C	Dividend	M	T					
99. - Fidelity DE Moderate Growth Portfolio (Fidelity Indx)	C	Dividend	K	T					
100.									
101. 529 #8 (H)									
102. - Fidelity DE Conservative (Fid. Index)	B	Dividend	K	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 \$5,000,000

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Connolly, Colm F.

Date of Report

12/01/2017

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)
103. - Fidelity DE Aggressive Growth Portfolio (Fidelity Indx)	E	Dividend	K	T					
104. - Fidelity DE Moderate Growth Portfolio (Fidelity Indx)	B	Dividend	L	T					
105.									
106. UTMA #1 (H)									
107. - Fidelity Blue Chip Growth Fund	D	Dividend	K	T					
108.									
109. UTMA #2 (H)									
110. - Fidelity Blue Chip Growth Fund	B	Dividend	J	T					
111. - International Business Machines	A	Dividend	J	T					
112. - Microsoft Corp.	A	Dividend	J	T					
113.									
114. UTMA #3 (H)									
115. - Fidelity Blue Chip Growth Fund	B	Dividend	J	T					
116. - International Business Machines	A	Dividend	J	T					
117. - Microsoft Corp.	A	Dividend	J	T					
118.									
119. College Avenue Student Loans, LLC units		None	M	U					

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

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting	Date of Report
Connolly, Colm F.	12/01/2017

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)
120.									
121.									
122.									

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	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Connolly, Colm F.

Date of Report

12/01/2017

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Connolly, Colm F.

Date of Report

12/01/2017

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		242	030	Notes payable to banks-secured (auto)		36	000
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule	1	755	559	Notes payable to relatives			
Unlisted securities				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable – see schedule		570	981
Real estate owned – see schedule	1	125	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		50	000				
Cash value-life insurance							
Other assets itemize:							
TSP		560	057				
Morgan Lewis Cash Balance Plan		532	604				
College Avenue Student Loans, LLC Units		102	750	Total liabilities		606	981
				Net Worth	3	761	019
Total Assets	4	368	000	Total liabilities and net worth	4	368	000
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							

FINANCIAL STATEMENT

NET WORTH SCHEDULES

Listed Securities

Vanguard Federal Money Market Fund	\$ 20,171
Vanguard 500 Index Fund Admiral Shares	112,696
Vanguard Dividend Appreciation Index Fund Admiral Shares	14,423
Vanguard Prime Money Market Fund	34,218
Vanguard Small-Cap Growth Index Fund Admiral Shares	13,385
Vanguard Consumer Discretionary ETF	13,323
Vanguard Consumer Staples ETF	17,035
Vanguard Energy ETF	65,592
Vanguard Health Care ETF	12,100
Vanguard REIT Index ETF	7,343
Vanguard S&P 500 Index ETF	12,368
Vanguard Telecom Services ETF	10,738
Proteon Therapeutics Inc.	5,040
Vanguard Emerging Markets Stock Index Fund Admiral Shares	20,164
Vanguard High-Yield Corporate Fund Investor Shares	18,144
Vanguard Mid-Cap Value Index Fund Admiral Shares	25,815
Vanguard Capital Opportunity Fund Investor Shares	35,030
DFA U.S. Small Cap Portfolio Institutional Class	95,114
Dodge & Cox International Stock Fund	126,613
Invesco Global Real Estate Fund R5 Class	63,243
Target Retirement 2030 Trust II	36,283
Vanguard REIT Index Fund Institutional Shares	72,185
William Blair International Growth Fund Class I	81,096
Goldman Sachs Global Income Fund Institutional Shares	56,766
Vanguard 500 Index Fund Investor Shares	8,720
T. Rowe Price Growth Stock Trust A	16,994
Vanguard Institutional Index Instl PI	39,945
American Funds EuroPacific Growth R6	24,755
IBM	16,240
Citigroup, Inc.	1,128
Microsoft Corp.	12,669
Fidelity Blue Chip Growth	28,877
Fidelity Municipal Money Market	323
Fidelity 529 DE Aggressive Growth Port (Fidelity FDS)	57,480
Fidelity 529 DE Aggressive Growth Port (Fidelity Index)	92,269
Fidelity 529 DE Moderate Growth Port (Fidelity Index)	131,349
Fidelity 529 DE Conservative (Fidelity Index)	159,895
NY's 529 Aggressive Growth Portfolio	44,304
NY's 529 Growth Portfolio	11,621
NY's 529 Small-Cap Stock Index Portfolio	36,269
NY's 529 Moderate Growth Portfolio	45,822
NY's 529 Conservative Portfolio	27,333

NY's 529 Income Portfolio	29,857
NY's 529 Interest Accumulation Portfolio	<u>824</u>
Total Listed Securities	\$1,755,559.00

<u>Real Estate Owned</u>	
Personal Residence	500,000
Vacation Home	<u>625,000</u>
Total Real Estate Owned	\$1,125,000

<u>Real Estate Mortgages Payable</u>	
Personal Residence – Mortgage	210,198
Vacation Home – Mortgage	<u>360,783</u>
Total Real Estate Mortgages Payable	\$570,981

AFFIDAVIT

I, Colm F. Connolly, do swear
that the information provided in this statement is, to the best
of my knowledge, true and accurate.

January 5, 2018
(DATE)

Colm F. Connolly
(NAME)

Lori M. Gibson
(NOTARY)

