

FINANCIAL DISCLOSURE REPORT INITIAL FILING

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Dorsey, John T.	2. Court or Organization US Bankruptcy Court, District of Delaware	3. Date of Report 01/06/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 09/30/2019
7. Chambers or Office Address 824 N. Market Street, 5th Floor 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	Young Conaway Stargatt & Taylor, LLC
2.	Director	Delaware Volunteer Legal Services
3.		
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. 2019	Reporting person was a partner in Young Conaway Stargatt & Taylor, LLP until June 10, 2019. Final disbursement of all earnings occurred on July 10, 2019.
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	Young Conaway Stargatt & Taylor, LLP (Partnership Distribution)	\$914,436.00
2. 2018	Young Conaway Stargatt & Taylor, LLP (Partnership Distribution)	\$865,230.00
3. 2019	Young Conaway Stargatt & Taylor, LLP (Partnership Distribution)	\$514,941.00
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.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Exempt				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. USAA SD/IRA (H)									
2. USPRX	D	Dividend	N	T	Exempt				
3. USAA Money Mkt Cash Account	A	Dividend	J	T	Exempt				
4. USAA Cash Accounts	A	Interest	K	T	Exempt				
5. Wells Fargo Cash Account	A	Interest	J	T	Exempt				
6. USAA Mutual Fund USAXX	C	Dividend	M	T	Exempt				
7. USAA 529 - Age-Based Option 5-6	A	Dividend	J	T	Exempt				
8. USAA Brokerage Account (H)									
9. QSPRX	A	Dividend	J	T	Exempt				
10. QSERX	A	Dividend	J	T	Exempt				
11. ABEYX	A	Dividend	J	T	Exempt				
12. AHLIX	A	Dividend	J	T	Exempt				
13. GICUX	A	Dividend	J	T	Exempt				
14. HLIZX	A	Dividend	J	T	Exempt				
15. HHHFX	A	Dividend	J	T	Exempt				
16. PEIFX	A	Dividend	J	T	Exempt				
17. TFEBX	B	Dividend	L	T	Exempt				

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 H = \$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 = \$250,001 - \$500,000	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	

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18. UMAFX	A	Dividend	J	T	Exempt				
19. USSTX	A	Dividend	J	T	Exempt				
20. VGIAX	A	Dividend	K	T	Exempt				
21. VEVX	A	Dividend	J	T	Exempt				
22. Charles Schwab YCST 401K (H)									
23. RATEX	E	Dividend	M	T	Exempt				
24. JENSX	D	Dividend	L	T	Exempt				
25. JAMCX	D	Dividend	M	T	Exempt				
26. SWDRX	D	Dividend	K	T	Exempt				
27. VMVAX	A	Dividend	J	T	Exempt				
28. VTHR	E	Dividend	N	T	Exempt				
29. Schwab Money Market Cash Account	A	Dividend	J	T	Exempt				
30. USAA IRA - URTRX	B	Dividend	K	T	Exempt				
31. First American Bank HSA Checking	A	Interest	J	T	Exempt				
32. First American HSA Investment Account (H)									
33. Invesco-Opp Devel. Mkts I	A	Dividend	J	T	Exempt				
34. JHandcock Money Mkt A	A	Dividend	J	T	Exempt				

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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	
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35. PIMCO StksPLUS Int'l USD-HDG 1	A	Dividend	J	T	Exempt				
36. Principal MidCap Institutional	A	Dividend	J	T	Exempt				
37. Vanguard Long-Term Corp Bond Idx	A	Dividend	J	T	Exempt				
38. Vanguard Mid Cap Index Admiral	A	Dividend	J	T	Exempt				
39. Vanguard S/T Corp Bond Idx Adm	A	Dividend	J	T	Exempt				
40. Vanguard Small Cap Inv Adm	A	Dividend	J	T	Exempt				

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

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ John T. Dorsey**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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