

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Underhill, Stefan R.	2. Court or Organization U.S. District Court (D. Conn.)	3. Date of Report 05/06/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. District Court 915 Lafayette Boulevard Bridgeport, CT 06604		
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.	Trustee	Family Testamentary Trust
2.	Visiting Lecturer	Yale University Law School
3.	Visiting Lecturer	University of Virginia School of Law
4.	Board of Directors	Federal Judges Association
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	Yale University School of Law - teaching	\$15,000.00
2. 2018	University of Virginia School of Law - teaching	\$10,000.00
3.		
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. 2018	Bridgeport Public Schools - Salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Judges Association	May 7-8, 2018	Washington, D.C.	Board of Directors Meeting	Travel, meals and lodging
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
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.	Northwestern Mutual Life Insurance Co.	Loans against cash value of life insurance	L
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. Fidelity Contrafund (IRA)	A	Dividend	L	T					
2. Fidelity Balanced (IRA)	A	Dividend	L	T					
3. Northwestern Mutual whole life and 65 life policies	C	Dividend	M	T					
4. Connecticut Teachers' Retirement Board (vested pension)		None	M	T					
5. People's United Bank Accounts		None	J	T					
6. AXA Equitable whole life policy		None	J	T					
7. HSA Bank (health spending account)		None	J	T					
8. Vanguard Prime Money Market Fund	B	Dividend	M	T	Sold (part)	01/17/18	J		
9.					Sold (part)	01/30/18	J		
10.					Sold (part)	03/09/18	J		
11.					Sold (part)	06/11/18	J		
12.					Sold (part)	07/09/18	J		
13.					Sold (part)	08/15/18	K		
14.					Sold (part)	09/11/18	J		
15.					Sold (part)	10/15/18	K		
16.					Sold (part)	10/16/18	J		
17.					Sold (part)	11/16/18	J		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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		

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18.					Sold (part)	11/19/18	J		
19.					Sold (part)	12/07/18	J		
20.					Sold (part)	12/14/18	J		
21.					Sold (part)	12/14/18	J		
22.					Sold (part)	12/20/18	J		
23. Vanguard Star Fund	B	Dividend	K	T	Buy	09/11/18	J		
24.					Buy (add'l)	10/16/18	J		
25.					Buy (add'l)	11/16/18	J		
26.					Buy (add'l)	12/14/18	J		
27. Vanguard Star Fund (inherited IRA)	D	Dividend	M	T	Buy	02/22/18	M		
28.					Sold (part)	10/15/18	J		
29. Vanguard Wellington Fund Admiral (inherited IRA)	A	Dividend	J	T	Buy	02/22/18	J		
30. Vanguard Windsor Fund Admiral	D	Dividend	M	T	Buy	09/13/18	M		
31. Comerica Bank Account	A	Interest	N	T					
32. BB&T common stock		None	J	T					
33. Vacation home		None	M	Q					
34. AUGGIE Movie, LLC investment units		None	J	U	Buy	01/17/18	J		AUGGIE Movie, LLC

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35.					Buy (add'l)	01/30/18	J		AUGGIE Movie, LLC
36.									
37.									
38.									
39.									
40.									
41.									
42.									
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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52.									
53.									

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

1. Assets listed in Part VII include assets held by the trusts identified in Part I.
2. The cash values of the life insurance policies listed on line 3 of Part VII do not reflect the impact of the loans listed on line 1 of Part VI.
3. The inherited IRA listed on lines 11 and 12 of Part VII of my 2017 report was divided among the four beneficiaries on February 22, 2018. The change in value from 2017 principally reflects the fact that the full value of the inherited IRA was listed in 2017 and my share of the inherited IRA is listed on lines 27 through 29 of my 2018 report.
4. The Vanguard Windsor Fund Admiral listed on line 13 of Part VII of my 2017 report was held in trust. The trust distributed that fund among four beneficiaries on September 13, 2018. My share of that distribution is listed on line 30 of my 2018 report.
5. The entry regarding BBT common stock on line 17 of Part VII of my 2017 report should have reflected "sold part" rather than "sold".
6. The vacation home listed on line 18 of Part VII of my 2017 report was transferred from a trust to myself and one other beneficiary, who now own the home jointly. See line 33 of Part VII of my 2018 report. The appraisal of that vacation home was conducted in January 2014.

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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/ Stefan R. Underhill**

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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