

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Kelly, Claire R.	2. Court or Organization U.S. Court of International Trade	3. Date of Report 04/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Court of International Trade Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address One Federal Plaza New York, NY 10278-0001		
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. Board Member and Adjunct Faculty Member	Brooklyn Law School
2.	
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kelly, Claire R.

Date of Report

04/14/2020

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.		
2.		
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. 2019	Hewlett-Woodmere Union Free School District - 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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Kelly, Claire R.	04/14/2020

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.			
2.			
3.			
4.			
5.			

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)
1. INDIVIDUAL ASSETS (H)									
2. Citibank - Cash Accounts	A	Interest	L	T					
3. Met Life - whole life / life insurance	A	Dividend	K	T					
4. Series EE US Savings Bond		None	J	T					
5. BROKERAGE ACCCOUNT #1 (H)									
6. Citigroup Inc Stock (common) (C)	A	Dividend	J	T					
7. General Electric Stock (common) (GE)	A	Dividend	J	T					
8. AMERICAN FUNDS, AMERICAN EUROPACIFIC GRW F2 (AEPFX)	C	Dividend	K	T					
9. AMERICAN FUNDS, AMERICAN GW FD OF AMERICA F2 (GFFFX)	C	Dividend	K	T					
10. AMERICAN FUNDS, AMERICAN WA MUTUAL F2 (WMFFX)	A	Dividend	K	T					
11. MAINSTAY NY TAX FREE OPPORT I (MNOIX)	A	Dividend	K	T					
12. PGIM TOTAL RETURN BD Z (PDBZX)	B	Dividend	K	T					
13. IRA #1 (H)									
14. MORGAN STANLEY BANK NA (CASH) (Y)									
15. Charles Schwab US MC ETF (SCHM)	A	Dividend	K	T	Buy	07/02/19	K		
16. SPDR S&P Homebuilders ETF (XHB)	A	Dividend	K	T	Buy	07/02/19	K		
17. Baird Short Term BD INST (BSBIX)	A	Dividend	K	T	Buy	07/02/19	K		

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

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)
18. Carillon Reams Core Plus BD FD I (SCPZX)	B	Dividend	L	T	Buy	07/02/19	L		
19. ISHARES MORNINGSTAR MID CP ETF (JKG)	A	Dividend			Sold	07/02/19	K	A	
20. WISDOMTREE TR JAPN HEDGE EQ (DXJ)	A	Dividend			Sold	07/02/19	K		
21. BARON GROWTH INSTITUTIONAL (BGRIX)		None			Sold	07/02/19	K	B	
22. BLACKROCK INFLAT PROT BOND I (BPRIX)	A	Dividend			Sold	07/02/19	K	A	
23. CLEARBRIDGE LG CAP GRWTH I (SBLYX)	C	Dividend	L	T	Sold (part)	04/23/19	J		
24.					Sold (part)	07/02/19	K	A	
25. DELAWARE INV SM VAL INST (DEVIX)	B	Dividend	K	T					
26. Hood River SM Cap GWTH INSTL CL (HRSMX)		None	K	T	Buy	07/02/19	K		
27. DOUBLELINE TOTAL RETURN I (DBLTX)	B	Dividend	L	T	Sold (part)	02/20/19	J		
28.					Buy (add'l)	12/30/19	J		
29. EV ADV FLOATING RATE I (EIFAX)	A	Dividend			Sold	07/02/19	K		
30. MAINSTAY CUSHING MLP PREMIER I (CSHZX)	B	Dividend	K	T					
31. OAKMARK FUND ADV (OAYMX)	D	Dividend	L	T	Sold (part)	07/02/19	K		
32. Orinda Income OPPTY INST (OIOIX)	A	Dividend	K	T	Buy	07/02/19	K		
33. PEAR TREE POLARIS FGN VL I (QFVIX)	A	Dividend	K	T					
34. PGIM TOTAL RETURN BD Z (PDBZX)	B	Dividend	L	T	Sold (part)	08/27/19	J	A	

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

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P1 =\$1,000,001 - \$5,000,000

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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)	(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)
35.					Sold (part)	09/27/19	J	A	
36. Virtus SEIX Float Rate High INCM I (SAMBX)	A	Dividend	K	T	Buy	07/02/19	K		
37. WCM Focused INTL Growth FD INST (WCMIX)	A	Dividend	L	T	Buy	07/02/19	K		
38. Zacks Div FD Inst (ZDIIX)	A	Dividend	L	T	Buy	07/02/19	L		
39. THORNBURG INTL GRWTH I (TINGX)		None			Sold	07/02/19	K		
40. WESTERN ASSET CORE PLUS BD I (WACPX)	B	Dividend			Sold	07/02/19	L	C	
41. IRA #2 (H)									
42. Charles Schwab Bank (cash)	A	Interest	J	T	Open	06/03/19	J		
43. Charles Schwab US MC ETF (SCHM)	A	Dividend	K	T	Buy	07/02/19	K		
44. SPDR S&P Homebuilders ETF (XHB)	A	Dividend	J	T	Buy	07/02/19	J		
45. Baird Short Term BD INST (BSBIX)	A	Dividend	K	T	Buy	07/02/19	K		
46. ISHARES MORNINGSTAR MID CP ETF (JKG)	A	Dividend			Sold	07/02/19	K	A	
47. WISDOMTREE TR JAPN HEDGE EQ (DXJ)	A	Dividend			Sold	07/02/19	J		
48. BARON GROWTH INSTITUTIONAL (BGRIX)		None			Sold	07/02/19	K	A	
49. BLACKROCK INFLAT PROT BOND I (BPRIX)	A	Dividend			Sold	07/02/19	K	A	
50. Carillon Reams Core Plus BD FD I (SCPZX)	B	Dividend	K	T	Buy	07/02/19	K		
51. CLEARBRIDGE LARGE CAP GRWTH I (SBLYX)	B	Dividend	K	T	Sold (part)	07/02/19	K	A	

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	

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

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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)
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52. DELAWARE INV SM VAL INST (DEVIX)	A	Dividend	J	T					
53. Hood River SM Cap GWTH INSTL CL (HRSMX)		None	K	T	Buy	07/02/19	K		
54. DOUBLELINE TOTAL RETURN I (DBLTX)	B	Dividend	K	T	Buy (add'l)	12/27/19	J		
55. EV ADV FLOATING RATE I (EIFAX)	A	Dividend			Sold	07/02/19	K		
56. MAINSTAY CUSHING MLP PREMIER I (CSHZX)	B	Dividend	J	T					
57. OAKMARK FUND ADV (OAYMX)	C	Dividend	K	T	Sold (part)	07/02/19	K		
58. Orinda Income OPPTY INST (OIOIX)	A	Dividend	K	T	Buy	07/02/19	K		
59. PEAR TREE POLARIS FGN VL I (QFVIX)	A	Dividend	K	T	Buy (add'l)	12/27/19	J		
60. PGIM TOTAL RETURN BD Z (PDBZX)	C	Dividend	K	T					
61. Virtus SEIX Float Rate High INCM I (SAMBX)	A	Dividend	J	T	Buy	07/02/19	J		
62. WCM Focused INTL Growth FD INST (WCMIX)	A	Dividend	K	T	Buy	07/02/19	K		
63. Zacks Div FD Inst (ZDIIX)	A	Dividend	K	T	Buy	07/02/19	K		
64. THORNBURG INTL GROWTH I (TINGX)		None			Sold	07/02/19	K		
65. WESTERN ASSET CORE PLUS BD I (WACPX)	A	Dividend			Sold	07/02/19	K	C	
66. IRA #3 (H)									
67. Fidelity Blue Chip GR (FBGRX)	C	Dividend	L	T					
68. Fidelity Blue Chip Value (FBCVX)	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

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P3 =\$25,000,001 - \$50,000,000

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R =Cost (Real Estate Only)

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H1 =\$1,000,001 - \$5,000,000

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P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

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Name of Person Reporting

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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)	(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)
69. Fidelity Diversified International Fund (FDIVX)	B	Dividend	L	T					
70. Fidelity Global Comdty Stock (FFGCX)	A	Dividend	K	T					
71. Fidelity Int'l Real Estate (FIREX)	B	Dividend	K	T					
72. Fidelity Mid Cap ENH Index (FMEIX)	B	Dividend	K	T					
73. Fidelity SM Cap ENH Index (FCPEX)	A	Dividend	K	T					
74. Fidelity Total Emerging Markets (FTEMX)	A	Dividend	K	T					
75. Fidelity GLB High Income (FGHNX)	A	Dividend	K	T					
76. Fidelity NEW Mkts. Inc. (FNMIX)	A	Dividend	K	T					
77. Fidelity Strategic Income (FADMX)	B	Dividend	K	T					
78. Fidelity Total Bond (FTBFX)	B	Dividend	L	T					
79. IRA #4 (H)									
80. TIAA Traditional	C	Dividend	L	T	Distributed (part)	06/03/19	J		
81. IRA #5 (H)									
82. Charles Schwab US MC ETF (SCHM)	A	Dividend	J	T	Buy	08/30/19	J		
83. Baird Short Term BD INST (BSBIX)	A	Dividend	J	T	Buy	08/30/19	J		
84. Carillon Reams Core Plus BD FD I (SCPZX)	A	Dividend	J	T	Buy	08/30/19	J		
85. BLACKROCK INFLAT PROT BOND I (BPRIX) (X)	A	Dividend			Sold	08/30/19	J		

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	

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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)
86. CLEARBRIDGE LARGE CAP GROWTH (SBLYX)	A	Dividend	J	T	Buy (add'l)	06/10/19	J		
87.					Sold (part)	08/30/19	J		
88. DOUBLELINE TOTAL RETURN I (DBLTX) (X)	A	Dividend	J	T					
89. EV ADV FLOATING RATE 1 (EIFAX) (X)	A	Dividend			Sold	08/30/19	J		
90. OAKMARK FUND ADVISOR (OAYMX)	A	Dividend	J	T	Buy (add'l)	06/10/19	J		
91.					Sold (part)	08/30/19	J		
92. PEAR TREE POLARIS FGN VL I (QFVIX) (X)	A	Dividend	J	T					
93. PGIM TOTAL RETURN BOND Z (PDBZX)	A	Dividend	J	T	Buy (add'l)	06/10/19	J		
94. THORNBURG INTL GROWTH I (TINGX) (X)		None			Sold	08/30/19	J		
95. WESTERN ASSET CORE PLUS BD I (WACPX)	A	Dividend			Buy (add'l)	06/10/19	J		
96.					Sold	08/30/19	J		
97. WCM Focused INTL Growth FD INST (WCMIX)	A	Dividend	J	T	Buy	08/30/19	J		
98. Zacks Div FD Inst (ZDIIX)	A	Dividend	J	T	Buy	08/30/19	J		
99. CUSTODIAL ACCOUNT #1 (H)									
100. General Electric Stock (common) (GE)	A	Dividend	J	T					
101. COLLEGE FUND #1 (H)									
102. NY 529 College Svgs Prog, Mod Age-Based Opt: Conservative Growth Portf		None	M	T	Buy (add'l)	05/17/19	J		

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Name change: NY 529 College Svgs Prog, Mod Age-Based Opt: Conservative Growth Portfolio was NY 529 College Svgs Prog, Mod Age-Based Opt: Disciplined Growth Portfolio.

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04/14/2020

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/ Claire R. Kelly**

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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Washington, D.C. 20544