

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) Chutkan, Tanya S.	2. Court or Organization United States District Court for the District of Columbia	3. Date of Report 08/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Court Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 333 Constitution Ave NW Washington, D.C. 20001		
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 of Trustees	DC Historical Society
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.	

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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.		
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.)

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.				
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.		
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)	(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. Wells Fargo (cash)	A	Interest	L	T					
3. IRA #1 (H)									
4. UBS Government Money Market Investments Fund Cl P (PCEXX) (cash) (Y)									
5. Pace International Emerging Markets Equity Investments Cl P (PECMX)	A	Dividend	J	T					
6. Pace International Equity Investments Cl P (PCIEY)	A	Dividend	J	T	Sold (part)	05/14/19	J	A	
7. Pace Large Co Growth Equity Investments Cl P (PCLCX)	B	Dividend	J	T	Sold (part)	05/14/19	J	B	
8. Pace Large Co Value Equity Investments Cl P (PCLVX)	B	Dividend	K	T	Buy (add'l)	05/14/19	J		
9. Pace Small/Medium Co Growth Equity Investments Cl P (PCSGX)	B	Dividend	J	T	Buy (add'l)	05/14/19	J		
10. Pace Small/Medium Co Value Equity Investments Cl P (PCSVX)	A	Dividend	J	T					
11. Pace Global Fixed Income Investments Fund Cl P (PCGLX)	A	Dividend	J	T					
12. Pace High Yield Investments Cl P (PHYPX)	A	Dividend	J	T	Buy (add'l)	05/14/19	J		
13. Pace Mortgage-Backed Sec Fix Income Invt Fd Cl P (PCGTX)	A	Dividend	J	T					
14. Pace Strategic Fixed Income Investmetns Cl P (PCSIX)	A	Dividend	J	T					
15. Pace Alternatives Strategies Investments Cl P (PASPX)	A	Dividend	J	T	Sold (part)	05/14/19	J	A	
16. Alibaba Group Hldg Ltd Spon Adr (BABA) (X)		None	K	T					
17. ETFMG Prime Cyber Security ETF (HACK)	A	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 \$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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	(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. Amer Funds Capital World Growth & Income Fund Cl A (CWGIX)	A	Dividend	J	T					
19. Fidelity Advisor Equity Growth Fund Cl M (FAEGX)	A	Dividend	J	T					
20. Invesco American Franchise Fund Cl A (VAFAX)	B	Dividend	K	T					
21. 13D Activist Fund CL A (DDDAX) (X)	A	Dividend	K	T	Buy (add'l)	04/05/19	J		
22. UNTS Ft Biotechnology Prtfo Ser 40	A	Dividend	J	T					
23. Pioneer High Yield Fund Cl A (TAHYX)	A	Dividend	J	T					
24. iShares Gold Trust ETF (IAU)		None	J	T					
25. IRA #2 (H)									
26. Fidelity Govt Mmkt Capital Reserves Cl (FZAXX) (cash) (X)	A	Dividend	K	T					
27. FS KKR Capital Corp Com (FSK) (X)	A	Dividend	J	T					
28. Genworth Financial Inc Com (GNW)		None	K	T	Buy	12/19/19	K		
29. Inovio Pharmaceuticals Inc (INO)		None	J	T					
30. SFL Corporation LTD Com (SFL)	B	Dividend	J	T					
31. United States Oil Fund Lp Units (USO)		None	J	T	Buy	01/29/19	K		
32. Delaware Covered Call Strategy Instl (FRCDX)	A	Dividend	K	T					
33. Resource Real Estate Diversified Inc W (WRREX)	B	Dividend	K	T					
34. Resource Credit Income Fd Cl W (RCIWX)	A	Dividend	J	T					

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		

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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 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. Vivaldi Merger Arbitrage Fd Cl I (VARBX)		None			Sold	11/30/19	K		
36. Amplify Etf Tr Online Retail Etf (IBUY)		None	L	T					
37. Flexshares Tr Stoxx Esg Index (ESG)	A	Dividend	K	T					
38. Invesco Exchnge Traded Fd Tr II CEF Inm (PCEF)	A	Dividend	J	T					
39. iShares Tr US Aer Def ETF (ITA)	A	Dividend			Sold	06/18/19	K	C	
40. SPDR S&P500 Etf Trust (SPY)	B	Dividend	L	T	Sold	03/26/19	L	B	
41.					Buy	04/09/19	L		
42.					Sold	06/18/19	L	A	
43.					Buy	07/03/19	L		
44. Flexshares Trust Ready Access Var (RAVI)	A	Dividend			Buy	08/30/19	L		
45.					Sold	11/30/19	L		
46. HCM Tactical Growth Fund Cl A		None			Sold	01/28/19	K		
47. First Republic Bank San Francisco Cal Preferred (Y)									
48. Brokerage #1 (H)									
49. Fidelity Tax Exempt Money Market (cash) (FERXX) (Y)									
50. Fidelity Govt Mmkt Capital Reserves Cl (FZAXX) (cash) (X)	A	Dividend	K	T					
51. Capital One Finl Corp Preferred Stock (COFPRP)	A	Dividend	J	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

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52. Highland Income Fund (HFRO)	A	Dividend	J	T					
53. District Columbia Rev Bds Howard 5.741% 10/1/19 (25483VEA8)	B	Interest			Redeemed	10/01/19	K		
54. District Columbia HSG AGY Multi-Family 12/1/21 3.35% (25477PMF9)	A	Interest	J	T					
55. Puerto Rico Commonwealth 4% 7/1/22 (74514LD46)	A	Interest	K	T					
56. District Columbia Income Tax Rev 5% 12/1/27 (25477GEC5) (X)	A	Interest	J	T					
57. Brokerage #2 (H)									
58. UBS Bank Deposit Account (cash) (Y)									
59. Cisco Systems Inc (CSCO)	A	Dividend	J	T					
60. Coca Cola Co Com (KO)	A	Dividend	J	T					
61. Johnson & Johnson Com (JNJ)	A	Dividend	J	T					
62. Microsoft Corp (MSFT)	A	Dividend	J	T					
63. ETFMG Prime Cyber Security ETF (HACK)	A	Dividend	K	T					
64. Allianzgi Nfj Mid-Cap Value Fund Cl A (PQNAX)	B	Dividend	K	T					
65. Blackrock Advantage Large Cap Growth Fund Cl A (BMCAX)	A	Dividend	J	T					
66. Center Coast Brookfield Mlp Focus Fund Cl A (CCCAX) (X)	B	Dividend	J	T					
67. First Eagle Overseas Fund Cl A (SGOVX)	A	Dividend	K	T					
68. Mainstay Cushing Mlp Premier Fund Cl A (CSHAX) (X)	A	Dividend	J	T					

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69. Oakmark Intl Fund Class Investor (OAKIX)	A	Dividend	K	T					
70. 13D Activist Fund Cl A (DDDAX) (X)	A	Dividend	J	T					
71. Unts Ft Biotechnology Prtfo Ser 40	A	Dividend	J	T					
72. Ohio National Life ONcore Premier Variable Annuity (H)									
73. QS Legg Mason Dynamic Multi-Strategy Portfolio		None	L	T					
74. Janus Henderson Low Vol VIT (X)		None	L	T					
75. Fidelity VIP Target Vol Portfolio		None	L	T					
76. TOPS MR Moderate Growth		None	L	T					
77. Va Intech US Low Vol Portfolio (Y)									
78. 529 #1 (H)									
79. DC College Savings Intermediate-Term Bond Portfolio (X)		None	J	T	Sold (part)	08/01/19	J		
80.					Sold (part)	12/06/19	J		
81. DC College Savings U.S. Total Stock Market Index (X) Portfolio		None	J	T	Sold (part)	08/01/19	J		
82.					Sold (part)	12/06/19	J		
83. DC College Savings U.S. Large Cap Equity Portfolio (X)		None	K	T	Sold (part)	08/01/19	J		
84.					Sold (part)	12/06/19	J		

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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. Lines 57-62 report no income per page 41. Lines 63-78 are unit value based accounts.

SFL Corporation LTD Com was SFL Ship Finance International Com.

Delaware Covered Call Strategy Instl (FRCDX) was First Investors Covered Call Strategy (FRCDX).

Invesco Exchnng Traded Fd Tr II CEF Inm (PCEF) was Powershares Exchnng Traded Fd Tr II CEF Inm (PCEF).

Highland Income Fund (HFRO) was Highland Floating Rate Fund (HFRO).

Various holdings and accounts are not reportable in this cycle and therefore have been omitted from this report; there are no corresponding reportable trasactions.

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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/ **Tanya S. Chutkan**

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