

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) Andrews, Richard G.	2. Court or Organization District of Delaware	3. Date of Report 04/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address United States District Court 844 King Street, Box 19 Wilmington, Delaware 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee	Trust #1
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/10/2020

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	Villanova University School of Law, 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.	NY Intellectual Property Law Ass'n	3/21-3/23/2019	NY, NY	CLE & Dinner Honoring Federal Judiciary	Hotel, transportation, meals
2.	Stanford Law School	10/3-10/5/2019	Palo Alto, CA	Roundtable on Patent Damages	Hotel, transportation, meals
3.	Eastern District of Texas Bar Ass'n	9/23-9/25/2019	Plano, TX	Annual Eastern District of Texas Bench Bar Conference	Hotel, transportation, meals
4.	Harvard Law School	10/23-10/24/2019	Cambridge, MA	Harvard Law IP Conference	Hotel, transportation, meals
5.					

Name of Person Reporting	Date of Report
Andrews, Richard G.	04/10/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/10/2020

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. CBS common	A	Dividend			Merged (with line 5)	12/11/19	J		
2. Manulife Financial common	A	Dividend	J	T					
3. Sun Life Financial common	C	Dividend	M	T					
4. Viacom B common	A	Dividend			Merged (with line 5)	12/11/19	J		
5. ViacomCBS common		None	J	T	Open	12/11/19	J		
6. CREF Growth Stock		None	N	T					
7. CREF Stock		None	N	T					
8. Fidelity Blue Chip Value Fund	C	Dividend	M	T					
9. Fidelity Freedom 2020	D	Dividend	M	T					
10. John Hancock Cash Management IRA	A	Dividend	J	T					
11. TIAA Traditional	E	Interest	N	T					
12. T. Rowe Price Growth & Income IRA	B	Dividend	K	T					
13.	B	Distribution			Sold (part)	12/02/19	J	A	
14. T. Rowe Price Health Sciences	E	Dividend	N	T					
15. T. Rowe Price New Income Fund IRA	B	Dividend	K	T					
16.	B	Distribution			Sold (part)	12/02/19	J	A	
17. T. Rowe Price GNMA	D	Dividend	N	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/10/2020

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. Invesco Van Kampen American Franchise Fund	C	Dividend	L	T					
19. Vanguard Capital Value Fund	B	Dividend	L	T					
20. Vanguard Emerging Markets Admiral	B	Dividend	L	T					
21. Vanguard High Yield Corporate Admiral	C	Dividend	K	T					
22. Vanguard High Yield Tax Exempt Admiral #1	C	Dividend	L	T	Buy (add'l)	03/28/19	K		
23. Vanguard Intermediate Term Bond Index Admiral	B	Dividend	L	T					
24. Vanguard Intermediate Term Tax Exempt Inv	B	Dividend	L	T	Buy (add'l)	03/28/19	K		
25. Vanguard Limited Term Tax Exempt Adm	C	Dividend	M	T					
26. Vanguard Long-Term Investment Grade Adm	D	Dividend	M	T					
27. Vanguard Long-Term Tax Exempt Fund Admiral	B	Dividend	L	T					
28. Vanguard Explorer Fund Admiral	D	Dividend	M	T					
29. Vanguard Total Intl Stock Index Inst	C	Dividend	M	T					
30. Vanguard Prime Money Market #1	A	Dividend	K	T					
31. Vanguard Prime Money Market #2	A	Dividend	K	T					
32. Vanguard REIT Inst	D	Dividend	M	T					
33. Vanguard Extended Market Index Inst	B	Dividend	M	T					
34. Vanguard Total Stock Index Inst	C	Dividend	M	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/10/2020

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 Target 2020 Fund IRA	B	Dividend	L	T					
36.	B	Distribution			Sold (part)	12/02/19	J	A	
37. Vanguard Target 2025 Fund IRA	A	Dividend	K	T					
38.	A	Distribution			Sold (part)	12/02/19	J	A	
39. Vanguard Tax-Managed Capital Appreciation Adm	C	Dividend	N	T					
40. Vanguard Developing Markets Index Admiral	C	Dividend	M	T					
41. Vanguard Tax-Managed Small Cap Adm	C	Dividend	M	T					
42. Vanguard U.S. Growth IRA	B	Dividend	K	T					
43. Vanguard Wellington Admiral	D	Dividend	N	T					
44. Vanguard Windsor II Fund Admiral	E	Dividend	N	T					
45. M&T Bank Checking Accounts		None	M	T					
46. John Hancock whole life ins. #1	D	Dividend	M	W					
47. John Hancock whole life ins. #2	D	Dividend	M	W					
48. Sun Life whole life ins. #1	A	Int./Div.	J	W					
49. Exxon Mobil common #1 (Trust #1)	C	Dividend	L	T					
50. American Century Equity Income (Trust #1)	C	Dividend	L	T					
51. American Century Income & Growth (Trust #1)	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 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/10/2020

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. DWS Strategic High Yield Tax Free Fund (Trust #1)	B	Dividend	K	T					
53. DWS Intermediate Tax/AMT Free Fund (Trust #1)	A	Dividend	K	T					
54. DWS Managed Municipal Bond Fund (Trust #1)	B	Dividend	K	T					
55. Franklin Templeton Class Z (Trust #1)	E	Dividend	N	T					
56. Hennessy Cornerstone (Trust #1)	C	Dividend	L	T					
57. RBC Enterprise Fund Class I (Trust #1)	D	Dividend	M	T					
58. Fidelity Gov't MM #1 (Trust #1)	C	Dividend	M	T					
59. Fidelity Gov't MM #2	B	Dividend	M	T					
60. Anglogold Ashanti LTD stock (Trust #1)	A	Dividend	J	T					
61. BAE Systems stock (Trust #1)	A	Dividend	J	T					
62. BP Ord stock (Trust #1)	A	Dividend	J	T					
63. BP PLC ADR stock (Trust #1)	A	Dividend	J	T					
64. BT Group Ord stock (Trust #1)	A	Dividend	J	T					
65. Columbia Govt MM Fund-I (Trust #1)	B	Dividend	M	T					
66. Columbia Acorn Intl Fund-Z (Trust #1)	D	Dividend	M	T					
67. Diageo Ord stock (Trust #1)	B	Dividend	L	T					
68. Exxon Mobil common #2	C	Dividend	M	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/10/2020

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 Intl Discovery	C	Dividend	M	T					
70. Fidelity New Markets Income	B	Dividend	K	T					
71. Fidelity Real Estate Inv (Trust #1)	D	Dividend	L	T					
72. Fidelity Select Biotech	D	Dividend	M	T					
73. Fidelity Select Health Care	B	Dividend	M	T					
74. Fidelity Strategic Inc (Trust #1)	B	Dividend	K	T					
75. Fidelity Tax-Free Bond (Trust #1)	C	Dividend	M	T					
76. Fidelity Value	B	Dividend	K	T					
77. Freeport McMoran Inc stock (Trust #1)	A	Dividend	K	T					
78. Gabelli Equity	D	Dividend	K	T					
79. HSBC Holdings PLC ADR stock (Trust #1)	A	Dividend	J	T					
80. Janus Overseas Fund Class T	B	Dividend	L	T					
81. Mercantile Investment Trust PLC (Trust #1)	C	Dividend	M	T					
82. News Corp.stock (Trust #1)	A	Dividend	J	T					
83. Oakmark Equity & Income Fund	D	Dividend	M	T					
84. Public Service Enterprise Gp Inc stock (Trust #1)	C	Dividend	M	T					
85. Schlumberger Ltd Com stock (Trust #1)	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 \$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.)

☐

 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)
86. Templeton Dragon Fund Inc (Trust #1)	B	Dividend	J	T					
87. T. Rowe Price Corporate Income	C	Dividend	M	T					
88. T. Rowe Price High Yield Fund	B	Dividend	K	T					
89. Twenty-First Century Fox Inc stock (Trust #1)		None			Closed	03/20/19	K		
90. Fox common stock (Trust #1)	A	Dividend	J	T	Spinoff (from line 89)	03/20/19	J		
91. Walt Disney common stock (Trust #1)	A	Dividend	K	T	Spinoff (from line 89)	03/20/19	J		
92. Unilever PLC stock (Trust #1)	C	Dividend	M	T					
93. United Parcel Service common (Trust #1)	A	Dividend	K	T					
94. Vanguard European Stock Ind F Adm	C	Dividend	M	T					
95. Vanguard High Yield Tax-exempt # 2	B	Dividend	K	T					
96. Vanguard Intermediate-Term Tax Exempt Fund Admiral	C	Dividend	M	T					
97. Vanguard Pacific Stock Index F Adm	C	Dividend	L	T					
98.									

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 10 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/10/2020

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

Re: Investments and Trusts, Lines 1, 4, and 5. CBS and Viacom merged about December 11, 2019, with the new company being called ViacomCBS. This was a non-taxable transaction other than cashing out what otherwise would have been a partial share of ViacomCBS.

Re: Investments and Trusts, Lines 89-91. Twenty-First Century Fox split into two companies, Walt Disney and Fox, on about March 20, 2019, in what was a non-taxable transaction other than cashing out what otherwise would have been a partial share in Walt Disney and a partial share in Fox.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/10/2020

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/ **Richard G. Andrews**

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