

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) Ripple, Kenneth F.	2. Court or Organization Court of Appeals - 7th Circuit	3. Date of Report 05/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge - Senior	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 United States Courthouse 204 South Main Street, Room 208 South Bend, IN 46601-2122		
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. See Section VIII, Part I

2. See Section VIII, Part I

3. See Section VIII, Part I

4.

5.

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2019 See Section VIII, Part II

2. 2019 See Section VIII, Part II

3.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Ripple, Kenneth F.

Date of Report

05/08/2020

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. 2019	Part-time teaching - University of Notre Dame	\$28,063.41
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.	
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. See Section VIII, Part IV				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Ripple, Kenneth F.	05/08/2020

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.	See Section VIII, Part V		
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.			

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Name of Person Reporting

Ripple, Kenneth F.

Date of Report

05/08/2020

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. Key Bank, So. Bend, IN IRA - Money Market	A	Interest	K	T	Sold (part)	11/15/19	J		
2. IRA BNY Mellon Equity Income Fund-Class A (formerly named Dreyfus)	A	Dividend	K	T	Sold (part)	11/01/19	J		
3. Notre Dame FCU - Notre Dame, IN savings & checking account	A	Interest	L	T					
4. U.S. Savings Bonds		None	J	T					
5. UND TIAA/CREF Retirement Fund (H)									
6. -TIAA Traditional	D	Int./Div.	N	T					
7. - CREF Stock R3		None	O	T					
8. - CREF Stock R2		None	L	T					
9. Prudential Whole Life Insurance Policy #1	A	Dividend	K	T					
10. Prudential Whole Life Insurance Policy #2	A	Dividend	J	T					
11. Wilco Whole Life Insurance Policy #1		None	J	T					
12. Wilco Whole Life Insurance Policy #2		None	J	T					
13. Brighthouse Whole Life Insurance Policy		None	J	T					
14. Trust #5 (H)									
15. -Nuveen Short Dur H/Y Muni I	B	Dividend			Distributed	12/06/19	L		
16. -Vanguard Intm Term Tax Exempt Fund-Adm	C	Dividend			Sold (part)	07/01/19	L	A	
17.					Distributed	12/06/19	M		

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)
18. -Vanguard Short Term - Tax Exempt Fund - Adm	A	Dividend			Sold	07/01/19	K	A	
19. -T Rowe Price New America Grw-I (formerly T Rowe Price NA Growth Fund)		None			Distributed	12/06/19	K		
20. -Federated Treasury Obligations SS	E	Distribution			Buy (add'l)	01/31/19	J		
21.					Sold (part)	01/31/19	J		
22.					Buy (add'l)	02/28/19	J		
23.					Sold (part)	02/28/19	J		
24.					Buy (add'l)	03/31/19	J		
25.					Sold (part)	03/31/19	J		
26.					Buy (add'l)	04/30/19	J		
27.					Sold (part)	04/30/19	J		
28.					Buy (add'l)	05/31/19	J		
29.					Sold (part)	05/31/19	J		
30.					Buy (add'l)	06/30/19	J		
31.					Sold (part)	06/30/19	J		
32.					Buy (add'l)	07/31/19	J		
33.					Sold (part)	07/31/19	J		
34.					Buy (add'l)	08/31/19	J		

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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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.)

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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				
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	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)	08/31/19	J		
36.					Buy (add'l)	09/30/19	J		
37.					Sold (part)	09/30/19	J		
38.					Buy (add'l)	10/31/19	J		
39.					Sold (part)	10/31/19	J		
40.					Buy (add'l)	11/30/19	J		
41.					Sold (part)	11/30/19	J		
42.					Distributed (part)	12/06/19	J		
43.					Buy (add'l)	12/31/19	J		
44.					Sold	12/31/19	J		
45. -Fidelity Contrafund	B	Dividend			Buy (add'l)	02/11/19	J		
46.					Distributed	12/06/19	M		
47. -Boston Partners INV All Cap Val Inst		None			Distributed	12/06/19	L		
48. -Sterling Cap Str S/C Val-Ins		None			Sold	07/01/19	J		
49. -T Rowe PR Mid-Cap Grow-I		None			Distributed	12/06/19	K		
50. -Voya Strategic Inc Opp-I	B	Dividend			Distributed	12/06/19	K		
51. -Pimco Municipal Bonds	B	Dividend			Buy	07/01/19	L		

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)					

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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52.					Distributed	12/06/19	L		
53. -Vanguard Long-Trm T/E Fd-Adm	A	Dividend			Buy	07/01/19	K		
54.					Distributed	12/06/19	K		
55. -iShares Russell 2000 ETF	A	Dividend			Buy	07/01/19	J		
56.					Distributed	12/06/19	J		
57. -Promissory Note G. Ripple & E. Talarico (X)	B	Interest	L	T					
58. Trust #6 (H)									
59. -Nuveen Short Dur H/Y Muni-I	B	Dividend			Distributed	12/06/19	L		
60. -Vanguard Intm Trm T/E Fund-Adm	D	Dividend			Sold (part)	07/01/19	L	A	
61.					Distributed	12/06/19	M		
62. -Vanguard Short Term T/E Fund-Adm	A	Dividend			Sold (part)	04/22/19	K		
63.					Sold	07/01/19	K	A	
64. -T Rowe Price New America Growth Fund		None			Distributed	12/06/19	K		
65. -Fidelity Contrafund	B	Dividend			Buy (add'l)	02/11/19	J		
66.					Sold (part)	04/22/19	K	E	
67.					Sold (part)	09/04/19	J	A	
68.					Sold (part)	12/05/19	J	B	

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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G =\$100,001 - \$1,000,000
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C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
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W =Estimated

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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.)

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69.					Distributed	12/06/19	M		
70. -Federated Treasury Obliga-SS	E	Distribution			Buy (add'l)	01/31/19	J		
71.					Sold (part)	01/31/19	J		
72.					Buy (add'l)	02/28/19	J		
73.					Sold (part)	02/28/19	J		
74.					Buy (add'l)	03/31/19	J		
75.					Sold (part)	03/31/19	J		
76.					Buy (add'l)	04/30/19	L		
77.					Sold (part)	04/30/19	L		
78.					Buy (add'l)	05/31/19	J		
79.					Sold (part)	05/31/19	J		
80.					Buy (add'l)	06/30/19	J		
81.					Sold (part)	06/30/19	J		
82.					Buy (add'l)	07/31/19	J		
83.					Sold (part)	07/31/19	J		
84.					Buy (add'l)	08/31/19	J		
85.					Sold (part)	08/31/19	J		

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
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P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
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B =\$1,001 - \$2,500
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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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W =Estimated

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P2 =\$5,000,001 - \$25,000,000
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86.					Buy (add'l)	09/30/19	J		
87.					Sold (part)	09/30/19	J		
88.					Buy (add'l)	10/31/19	J		
89.					Sold (part)	10/31/19	J		
90.					Buy (add'l)	11/30/19	J		
91.					Sold (part)	11/30/19	J		
92.					Distributed (part)	12/06/19	J		
93.					Buy (add'l)	12/31/19	J		
94.					Sold	12/31/19	J		
95. -Boston Partners INV All Cap Val Inst		None			Distributed	12/06/19	L		
96. -Sterling Cap Str S/C Val-Ins		None			Sold	07/01/19	J		
97. -T Rowe PR Mid Cap Grow-I		None			Distributed	12/06/19	K		
98. -Voya Strategic Inc Opp-I	B	Dividend			Distributed	12/06/19	K		
99. -Pimco Municipal bonds	B	Dividend			Buy	07/01/19	L		
100.					Distributed	12/06/19	L		
101. -Vanguard Long-Trm T/E Fd-Adm	A	Dividend			Buy	07/01/19	K		
102.					Distributed	12/06/19	K		

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103. Trust #7 (H)									
104. -Nuveen Short Dur H/Y Muni-I (X)		None	M	T					
105. -Pimco Municipal Bond-Inst (X)		None	M	T					
106. -Vanguard Intm Trm T/E (X)		None	N	T					
107. -Vanguard Long-Trm T/E (X)	A	Dividend	K	T	Buy (add'l)	12/23/19	J		
108. -Voya Strategic Inc Opp-I (X)		None	L	T					
109. -Boston Partners INV All Cap Val Inst (X)	C	Dividend	M	T	Buy (add'l)	12/12/19	J		
110. -Fidelity Contrafund (X)	D	Dividend	N	T	Buy (add'l)	12/16/19	J		
111. -iShares Russell 2000 ETF (X)	A	Dividend	J	T					
112. -T Rowe PR Mid Cap Grow-I (X)	C	Dividend	L	T					
113. -T Rowe Price New Amer Grw-I (X)	C	Dividend	L	T					
114. -Federated Gov Obli Fd-Prm (X)	A	Distribution	J	T	Buy (add'l)	12/17/19	J		
115.					Buy (add'l)	12/20/19	J		
116.					Sold (part)	12/31/19	J		
117. 1st Source Bank - Checking	A	Interest	J	T					
118. Teacher's Credit Union Savings Account		None	J	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
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Name of Person Reporting	Date of Report
Ripple, Kenneth F.	05/08/2020

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

I. Positions

Item No. 1. Part-time Professor of Law, University of Notre Dame (joined faculty in 1977; part-time since appointment to the Judiciary).

As a faculty member, Judge Ripple is entitled to purchase tickets at a discount for athletic events. He receives, on the same basis as other faculty members, a discount on some items at the University bookstore. He also may use other University facilities such as the library and athletic facilities. Notre Dame provides Judge Ripple with Westlaw and Lexis services for his academic needs. Judge Ripple had the approval of the Chief Circuit Judge for his teaching activities.

Item No. 2. Member, Judicial Advisory Board, American Society of International Law. During the reporting period, Judge Ripple served on this board whose function is to advise the Society of the educational needs of the judiciary in the area of International law and to inform the Society of the cases that have been decided by the courts in that area. Each circuit has a representative. Judge Ripple was designated by the Chief Judge of the Circuit, and his appointment was approved by Justice Ginsburg, who serves as chair of the Committee.

Item No. 3. Advisor, American Law Institute, Restatement of the Law, 3d, Conflicts of Law. During the reporting period, Judge Ripple served with other judges and lawyers as an advisor to this project of the American Law Institute. He served as a volunteer with no reimbursable travel expenses for meetings. Advisors have no authority over the management of the American Law Institute.

II. Agreement

Item No. 1. TIAA/CREF Pension Fund - Prior to his appointment, Judge Ripple was a full-time employee of the University of Notre Dame. During those years (1977-1985), both he and the University contributed on his behalf to this nation-wide pension fund for University professors. The fund is administered by a board of trustees. Although Judge Ripple continues to teach at the University, neither he nor the University contributes to the fund as part of this arrangement.

Item No. 2. Part-time professor, University of Notre Dame - Details are set forth above in Section VIII, I.

IV. Reimbursements

Item No 1. From November 15-17, 2018, Judge Ripple attended the meeting of the Judicial Advisory Board of the American Society of International Law in Washington, D.C. That organization reimbursed him for travel, food and lodging. Judge Ripple made the trip in 2018, for which reimbursement was received in 2019. This trip therefore must be reported in 2019:

V. Gifts

West Publishing Company supplies Judge Ripple with a sample set of the Federal Reporter and miscellaneous legal material for use in his chambers. The Company makes these books available to all federal judges. The estimated value of materials received in 2019 is \$2,263.44. These materials are used for the performance of official duties. Judge Ripple has transferred any interest he may have in these materials to the United States Government.

VII. Investments and Trusts

Item No. 5. This is a University of Notre Dame 403(B) Retirement Plan. It is an annuity contract invested in three funds. These investment funds have not changed from the prior year, but because the Committee of Financial Disclosure requested that specific funds chosen from the plan options be disclosed, each fund has been listed.

Items Nos 7 & 8. The annuity did not report any income as being credited to the CREF 2 and CREF 3 units, only a change in the value of the units.

Item Nos. 9 & 10. These are whole life insurance policies, and Judge Ripple has no ability to select specific investment funds.

Item Nos. 11, 12 & 13. No dividends or interest are attributable to any individual policy of this type. Each policy does have a cash value; that value is noted.

Item Nos. 15 - 57. These are all holdings, as well as purchase and sale transactions, within Trust No. 5 (Item 14).

Item No 20. Income reported in Column B(1) includes distributions from Judge Ripple's revocable trust for personal income tax payments.

Item Nos. 59 - 102. These are all holdings, as well as purchase and sale transactions, within Trust No. 6 (Item 58).

Item No. 70. Income reported in Column B(1) includes distributions from Judge Ripple's spouse's revocable trust for personal income tax payments.

Item No. 103. On August 26, 2019, Judge Ripple established a new revocable trust at First Source Bank. This new trust is trust No. 7 (item 103). They directed that all the assets of trust No. 5 (item 14) and trust No. 6 (item 58) be transferred into the new trust. At the end of the year, all assets except the item noted as item 57 had been transferred to the new trust. That asset remained in trust No. 5 pending the receipt of authorization from the debtors. That asset has since been transferred to the new trust, and the old trusts have been closed.

Items Nos. 104-116. These are all holdings, as well as purchase and sale transactions, within Trust No. 7 (Item 103) that were transferred in 2019 from Trust No. 5 and Trust No. 6.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Ripple, Kenneth F.

Date of Report

05/08/2020

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/ **Kenneth F. Ripple**

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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