

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) Shea, Michael P.	2. Court or Organization District of Connecticut	3. Date of Report 06/01/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District 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 Abraham Ribicoff Building 450 Main Street Hartford, CT 06103		
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. Executor	Family Estate #1
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. 2012	Day Pitney LLP Retirement Plan, no control
2. 1998	Cleary Gottlieb Steen & Hamilton Retirement Plan, no control
3.	

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Name of Person Reporting

Shea, Michael P.

Date of Report

06/01/2020

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	Self-employed marriage and family therapist
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
Shea, Michael P.	06/01/2020

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.		

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. CHET Moderate Managed Allocation Option (529)		None	L	T	Sold (part)	06/19/19	K	A	
2.					Sold (part)	12/16/19	J	A	
3.					Sold (part)	12/20/19	J	A	
4. CHET High Equity Option (529)		None	K	T	Sold (part)	05/24/19	J	A	
5.					Sold (part)	12/20/19	K	A	
6. Vanguard Midcap Index Fund		None	M	T					
7. Fidelity Blue Chip Growth Fund	A	Dividend	L	T					
8. Fidelity Cash Reserves	A	Interest	J	T					
9. Fidelity ContraFund	A	Dividend	J	T					
10. Vanguard Target 2030	A	Dividend	K	T					
11. T. Rowe Price Retirement 2030 Fund		None	L	T					
12. T. Rowe Price Institution Large Cap Core Fund		None	M	T					
13. Vanguard Emerging Markets Stock Index Fund	A	Dividend	K	T	Sold (part)	12/23/19	J	A	
14. Vanguard High-Yield Tax Exempt Fund	A	Dividend	K	T	Buy (add'l)	12/23/19	J		
15. Vanguard Small Cap Value Index Admiral Fund	A	Dividend	L	T					
16. Vanguard Diversified Equity Investments Fund	C	Dividend	L	T					
17. Vanguard Inter-term Treasury	A	Dividend	J	T	Buy	12/23/19	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

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.)

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18. Vanguard Value Index Fund Admiral	B	Dividend	L	T	Sold (part)	12/23/19	J	A	
19. Vanguard Institutional Index Fund		None	M	T					
20. Vanguard Total International Stock Index Fund		None	L	T					
21. Vanguard Total Bond Market Index Fund		None	L	T					
22. Glenmede Small Cap Equity Instl		None	L	T					
23. American Beacon Large Cap Value Instl Fund		None	K	T					
24. Bank of America Accounts	A	Interest	M	T					
25. Morgan Stanley Private Bank(X)	A	Interest	J	T					
26. AMZN(X)		None	J	T					
27. AEP(X)		None	J	T					
28. AWK(X)		None	J	T					
29. AAPL(X)		None	J	T					
30. T(X)		None	J	T					
31. AGR(X)		None	J	T					
32. BCE(X)		None	J	T					
33. GLW(X)		None	J	T					
34. CTVA(X)		None	J	T					

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35. DOW(X)		None	J	T					
36. DD(X)		None	J	T					
37. ES(X)	A	Dividend	J	T					
38. JNJ(X)		None	J	T					
39. LOW(X)		None	J	T					
40. MRK(X)		None	J	T					
41. MSFT(X)		None	J	T					
42. NEE(X)		None	J	T					
43. PEP(X)		None	J	T					
44. PFE(X)		None	J	T					
45. PG(X)		None	J	T					
46. VLO(X)		None	J	T					
47. VZ(X)		None	J	T					
48. QQQ(X)	A	Dividend	J	T					
49. IVW(X)	A	Dividend	J	T					
50. PDI(X)	A	Dividend	J	T					
51. HYHG(X)		None	J	T					

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(See Columns B1 and D4)

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52. VIG(X)	A	Dividend	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
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Capital gain information has been provided based on available information. The calculation of capital gains for 529 plans (Part VII) are estimates based on account history; precise information is not available. There were two exchanges on 12/23/19: (1) an amount of Vanguard Emerging Stock Index Fund for an equivalent amount of High Yield Tax Exempt Fund, and (2) an amount of Vanguard Value Index Fund for an equivalent amount of Vanguard Inter-Term Treasury Fund. Investments followed by "X" reflect my beneficial shares of the assets of Family Estate #1 of which I became executor in 2019, as referred to in Part I.

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Name of Person Reporting

Shea, Michael P.

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06/01/2020

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/ **Michael P. Shea**

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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