

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Spector, Robert M.                                                                                                                   | <b>2. Court or Organization</b><br><br>United States District Court, District of Connecticut                                                                                                                                           | <b>3. Date of Report</b><br><br>04/12/2019                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>United States Magistrate Judge - full-time                                    | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2018<br>to<br>12/31/2018 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>United States District Court<br>141 Church Street, Room 303<br>New Haven, CT 06510                                                                            |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## 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. Member, Board of Directors                           | Haddam Little League               |
| 2. Member, Federal Practice Section Executive Committee | Connecticut Bar Association        |
| 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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Name of Person Reporting

Spector, Robert M.

Date of Report

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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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(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. 2018     | Glastonbury Board of Education - 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 |
| Spector, Robert M.       | 04/12/2019     |

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☐ NONE (No reportable gifts.)

| SOURCE                             | DESCRIPTION                                                                | VALUE    |
|------------------------------------|----------------------------------------------------------------------------|----------|
| 1. United States Attorney's Office | Restaurant gift cards & framed DOJ seal at retirement for 17 years at USAO | \$600.00 |
| 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. Northeastern University | Tuition Agreement | None       |
| 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |

|     |                                                                        |   |          |   |   |                    |          |   |  |                         |
|-----|------------------------------------------------------------------------|---|----------|---|---|--------------------|----------|---|--|-------------------------|
| 1.  | Connecticut Higher Education Trust, Conservative Managed Allocation 18 |   | None     | K | T | Distributed (part) | 07/17/18 | K |  | Northeastern University |
| 2.  | Connecticut Higher Education Trust, Moderate Managed Allocation 18     |   | None     |   |   | Distributed        | 12/04/18 | J |  | Northeastern University |
| 3.  | Connecticut Higher Education Trust, Principal Plus Interest Opt-18     |   | None     | M | T | Distributed (part) | 12/04/18 | J |  | Northeastern University |
| 4.  | Connecticut Higher Education Trust, Conservative Managed Alloc. 15     |   | None     | L | T |                    |          |   |  |                         |
| 5.  | Connecticut Higher Education Trust, Moderate Managed Allocation 15     |   | None     | J | T |                    |          |   |  |                         |
| 6.  | Connecticut Higher Education Trust, Principal Plus Interest Opt-15     |   | None     | L | T |                    |          |   |  |                         |
| 7.  | Connecticut Higher Education Trust, Moderate Managed Allocation 5-8    |   | None     | K | T |                    |          |   |  |                         |
| 8.  | Connecticut Higher Education Trust, Moderate Managed Allocation 0-4    |   | None     | K | T |                    |          |   |  |                         |
| 9.  | MetLife Universal Annuity                                              | A | Dividend | J | T |                    |          |   |  |                         |
| 10. | Peoples United Bank Cash Account                                       | A | Interest | J | T |                    |          |   |  |                         |
| 11. | Connecticut Teacher' Retirement Board                                  | D | Interest | M | T |                    |          |   |  |                         |
| 12. |                                                                        |   |          |   |   |                    |          |   |  |                         |
| 13. |                                                                        |   |          |   |   |                    |          |   |  |                         |
| 14. |                                                                        |   |          |   |   |                    |          |   |  |                         |
| 15. |                                                                        |   |          |   |   |                    |          |   |  |                         |
| 16. |                                                                        |   |          |   |   |                    |          |   |  |                         |
| 17. |                                                                        |   |          |   |   |                    |          |   |  |                         |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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| <b>Spector, Robert M.</b>       | 04/12/2019            |

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

For the various 529 plans listed in Part VII (the Connecticut Higher Education Trust), there is no income information and the value of the accounts are expressed in terms of a total number of units and a unit value, which can go up or down, depending on the value of that particular account. In addition, for each of the "Moderate Managed Allocation" 529 accounts, I made regular contributions (twice per month) in amounts ranging from \$250 to \$1,000, which simply increased the total number of units owned for that particular account.

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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/ **Robert M. Spector**

**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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