

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) Underhill, Stefan R.	2. Court or Organization U.S. District Court (D. Conn.)	3. Date of Report 06/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 U.S. District Court 915 Lafayette Boulevard Bridgeport, CT 06604		
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. Trustee	Family Testamentary Trust
2. Visiting Lecturer	Yale University Law School
3. Visiting Lecturer	University of Virginia School of Law
4. Board of Directors	Federal Judges Association
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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Yale University School of Law - teaching	\$15,000.00
2. 2019	University of Virginia School of Law - teaching	\$10,000.00
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	Bridgeport Public Schools - 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.				

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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. Northwestern Mutual Life Insurance Co.	Loans against cash value of life insurance	L
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.	Fidelity Contrafund (IRA)	B	Dividend	L	T				
2.	Fidelity Balanced (IRA)	B	Dividend	L	T				
3.	Northwestern Mutual whole life and 65 life policies	C	Dividend	M	T				
4.	Connecticut Teachers' Retirement Board (vested pension)		None	M	T				
5.	People's United Bank Accounts		None	J	T				
6.	AXA Equitable whole life policy		None	J	T				
7.	HSA Bank (health spending account)		None	J	T				
8.	Vanguard Prime Money Market Fund	C	Dividend	M	T	Sold (part)	01/09/19	J	
9.						Sold (part)	01/16/19	J	
10.						Sold (part)	02/01/19	K	
11.						Sold (part)	02/15/19	J	
12.						Sold (part)	03/15/19	J	
13.						Sold (part)	03/19/19	J	
14.						Sold (part)	03/26/19	L	
15.						Sold (part)	04/16/19	J	
16.						Buy	05/02/19	L	
17.						Sold (part)	05/16/19	J	

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				
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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)
18.					Sold (part)	05/20/19	J		
19.					Sold (part)	05/28/19	J		
20.					Sold (part)	06/14/19	J		
21.					Sold (part)	06/27/19	J		
22.					Sold (part)	07/12/19	J		
23.					Sold (part)	07/16/19	J		
24.					Sold (part)	07/29/19	J		
25.					Sold (part)	08/16/19	J		
26.					Sold (part)	09/06/19	K		
27.					Sold (part)	09/16/19	J		
28.					Sold (part)	09/19/19	K		
29.					Sold (part)	10/14/19	K		
30.					Sold (part)	10/16/19	J		
31.					Sold (part)	11/15/19	J		
32.					Sold (part)	12/09/19	J		
33.					Sold (part)	12/16/19	J		
34. Vanguard Star Fund	D	Dividend	L	T	Buy	01/16/19	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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35.					Buy (add'l)	02/15/19	J		
36.					Buy (add'l)	03/15/19	J		
37.					Buy (add'l)	04/16/19	J		
38.					Buy (add'l)	05/16/19	J		
39.					Buy (add'l)	06/14/19	J		
40.					Buy (add'l)	07/16/19	J		
41.					Buy (add'l)	08/16/19	J		
42.					Buy (add'l)	09/16/19	J		
43.					Buy (add'l)	10/16/19	J		
44.					Buy (add'l)	11/15/19	J		
45.					Buy (add'l)	12/16/19	J		
46.	Vanguard Star Fund (inherited IRA)	A	Dividend	M	T	Sold (part)	02/14/19	J	
47.	Vanguard Wellington Fund Admiral (inherited IRA)	A	Dividend	J	T				
48.	Vanguard Windsor Fund Admiral	B	Dividend	K	T	Sold (part)	03/26/19	L	
49.	Comerica Bank Account	A	Interest			Closed			
50.	BB&T common stock	A	Dividend			Sold		J	
51.	AUGGIE Movie, LLC investment units		None	J	U				

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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)					

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

1. Assets listed in Part VII include assets held by the trust identified in Part I.
2. The cash values of the life insurance policies listed on line 3 of Part VII do not reflect the impact of the loans listed on line 1 of Part VI.
3. The vacation home listed on line 33 of Part VII of my 2018 report is no longer listed.
4. The Comerica Bank Account listed on line 51 of Part VII was closed in 2019.
5. I have been unable to determine the date of the sale of BBT common stock listed on line 52 of Part VII.

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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/ Stefan R. Underhill**

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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