

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) Harwood, Bruce A.	2. Court or Organization United States Bankruptcy Court - District of New Hampshire	3. Date of Report 08/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Bankruptcy Judge	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 Bankruptcy Court 55 Pleasant Street Concord, NH 03301		
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. Director and Officer	American Bankruptcy Institute
2. Trustee	Trust #1 (██████ member sole beneficiary)
3. Trustee	Trust #2 (██████ member sole beneficiary)
4. Trustee	Trust #3 (██████ member sole beneficiary)
5. Trustee	Trust #4 (██████ member sole beneficiary)
6. Trustee	Trust #5 (██████ member sole beneficiary)
7. Trustee	Trust #6 (██████ member sole beneficiary)

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Harwood, Bruce A.

Date of Report

08/11/2020

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.	
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.	American Bankruptcy Institute	April 11-14, 2019	Washington, DC	Educational seminar and board of directors meeting	Transportation, Lodging, Meals
2.	Association of Insolvency & Restructuring Advisors	June 6-9, 2019	Boston, MA	Educational seminar and annual meeting	Transportation, Lodging, Meals
3.	American Bankruptcy Institute	July 11-13, 2019	Newport, RI	Educational seminar	Transportation, Lodging, Meals
4.					
5.					

Name of Person Reporting	Date of Report
Harwood, Bruce A.	08/11/2020

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

Harwood, Bruce A.

Date of Report

08/11/2020

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. Common AMLP - ALERIAN MLP ETF	D	Dividend	L	T	Buy (add'l)	01/11/19	K		
2.					Buy (add'l)	08/12/19	J		
3.					Buy (add'l)	09/27/19	J		
4.					Buy (add'l)	09/30/19	K		
5.					Sold (part)	12/10/19	J		
6. AHLYX- AMER BEACON AHL MNGD FUT FUND		None			Sold (part)	07/22/19	J	A	
7.					Buy (add'l)	03/11/19	J		
8.					Sold	08/12/19	K	B	
9. AQMIX - AQR MANAGED FUTURES STRATEGY I FUND		None			Sold (part)	03/11/19	J		
10.					Buy (add'l)	05/14/19	J		
11.					Sold (part)	07/22/19	J		
12.					Sold	08/12/19	M		
13. BGCIX - BLACKROCK GLOBAL L/S CREDIT I FUND	B	Dividend	L	T	Buy (add'l)	01/11/19	J		
14.					Buy (add'l)	05/14/19	J		
15.					Sold (part)	07/22/19	J		
16.					Sold (part)	08/12/19	K		
17. CMNIX - CALAMOS MARKET NEUTRAL INC I FUND	A	Dividend	L	T	Buy (add'l)	05/14/19	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				
	(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.					Buy (add'l)	08/12/19	J		
19.					Buy (add'l)	09/27/19	J		
20.					Buy (add'l)	09/30/19	J		
21. Common CVX - CHEVRON CORP	A	Dividend	J	T					
22. FT NORTH AMER ENERGY ETF	A	Dividend			Sold	01/11/19	K		
23.			K	T	Buy	12/10/19	K		
24. GJRTX GOLDMAN SACHS ABSOLUTE RETURN TRACKER FUND	B	Distribution	L	T	Buy (add'l)	08/13/19	L		
25.	A	Dividend			Buy (add'l)	09/27/19	J		
26. PDBC INVESCO OPTIMUM YIELD DIVERSIFIED FUND		None			Sold	01/19/19	K		
27. IPPXX INVESCO PREMIER INST"L MONEY MARKET FUND	A	Dividend	L	T	Buy	07/22/19	J		
28.					Buy (add'l)	08/12/19	L		
29.					Buy (add'l)	09/30/19	J		
30. IQ HEDGE MUTLI-STRAT TRACKER ETF	B	Dividend			Sold	08/12/19	L		
31. ICF ISHARES COHEN & STEERS REIT ETF		None			Sold	01/11/19	J	A	
32. AOC ISHARES CORE CONSERVATIVE ETF	A	Dividend			Sold	01/11/19	J	A	
33. IEF ISHARES 7-10 YEAR TREASURY BOND ETF	A	Dividend	M	T	Buy	07/22/19	J		
34.					Buy (add'l)	08/12/19	M		

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.)

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)
35. TLT ISHARES 20+ YEAR TREASURY BOND ETF	B	Dividend	M	T	Buy	07/22/19	J		
36.					Buy (add'l)	08/12/19	M		
37. Common TIP - ISHARES BARCLAYS TIPS BD ETF	B	Dividend	L	T	Buy (add'l)	05/14/19	J		
38.					Sold (part)	07/22/19	J		
39.					Sold (part)	08/12/19	M		
40. EEM - ISHARES MSCI EMERGING MARKETS ETF	A	Dividend			Sold	08/12/19	L	D	
41. Common SCZ - ISHARES TR MSCI SMALL CAP	C	Dividend	M	T	Sold (part)	08/12/19	J	A	
42. Common MERFX - MERGER FUND - changed to MERIX - MERGER FUND 9/27/19	A	Dividend	M	T	Buy (add'l)	08/12/19	J		
43.	B	Distribution			Buy (add'l)	09/30/19	J		
44. Common - STPZ - PIMCO 1-5 YEAR US TIPS INDEX FUND	B	Dividend	L	T	Buy (add'l)	05/14/19	J		
45.					Sold (part)	07/22/19	J	A	
46.					Sold (part)	08/12/19	M	B	
47. PALPX - PIMCO ALL ASSET P FUND	B	Dividend	L	T	Buy (add'l)	01/11/19	J		
48.					Buy (add'l)	05/14/19	J		
49.					Buy (add'l)	08/12/19	J		
50.					Buy (add'l)	09/27/19	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

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Harwood, Bruce A.

Date of Report

08/11/2020

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)
51.					Buy (add'l)	09/30/19	J		
52. PCRPX - PIMCO COMMOD REAL RET STRAT FUND	B	Dividend			Buy (add'l)	01/11/19	K		
53.					Buy (add'l)	05/14/19	J		
54.					Sold (part)	07/22/19	J		
55.					Sold	08/12/19	L		
56. Common RWX - SPDR DJ WILSHIRE INTL REAL EST	D	Dividend	L	T	Buy (add'l)	01/11/19	J		
57.					Buy (add'l)	03/13/19	J		
58.					Buy (add'l)	08/12/19	J		
59. Common TFI - SPDR NUVEEN BBG BARCLAYS MUN B ETF -	C	Dividend	M	T	Buy (add'l)	08/12/19	M		
60.					Buy (add'l)	09/30/19	J		
61. Common SHM - SPDR NUVEEN BARCLAYS SHRT TERM	A	Dividend	J	T	Sold (part)	08/12/19	K	A	
62. Common VEA - VANGUARD FTSE DEVELOPED MARKETS ETF	D	Dividend	N	T	Buy (add'l)	09/27/19	J		
63. Common VWO - VANGUARD FTSE EMERGING MARKETS E	D	Dividend	N	T	Buy (add'l)	08/12/19	K		
64. Common VUG - VANGUARD GROWTH ETF	C	Dividend	N	T	Sold (part)	08/12/19	K	D	
65. Common VNQ - VANGUARD REIT ETF	B	Dividend	L	T	Sold (part)	01/11/19	J		
66. Common BSV - VANGUARD SHORT TERM BND	C	Dividend	N	T	Buy (add'l)	05/14/19	J		
67.					Buy (add'l)	07/22/19	J		

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 8 of 11

Name of Person Reporting

Harwood, Bruce A.

Date of Report

08/11/2020

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)
68.					Buy (add'l)	08/12/19	M		
69. Common VBK - VANGUARD SM CAP GROWTH ETF	A	Dividend	L	T	Sold (part)	07/22/19	J	A	
70.					Sold (part)	08/12/19	L	E	
71. Common VBR - VANGUARD SM VALUE ETF	B	Dividend	L	T	Sold (part)	07/22/19	J	A	
72.					Sold (part)	08/12/19	K	E	
73. Common BND - VANGUARD TOTAL BOND MARKET	C	Dividend	M	T	Buy (add'l)	05/14/19	J		
74. Common VTV - VANGUARD VALUE ETF INDEX	D	Dividend	N	T	Sold (part)	08/12/19	J	C	
75. Morgan Stanley Bank N.A. Money Market Account (Bank Deposit Program)	A	Interest	L	T					
76. CITIZENS BANK - deposit accounts	A	Interest	K	T					
77. Common BENGUET CORP		None	J	T					
78. Common ENERGIZER HOLDINGS INC (Custodian)		None	J	T					
79. Common BOEING COMPANY (Custodian)		None	J	T					
80. Trust #1 (H)									
81. - CITIZENS BANK - bank accunt	A	Interest	J	T					
82. Trust #3 (H)									
83. - CITIZENS BANK - bank account	A	Interest	L	T					
84. - NBT Bank f/k/a HAMPSHIRE FIRST BANK - bank account	A	Interest			Closed	11/19/19	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				
	(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)
85. Trust #4 (H)									
86. - NBT BANK f/k/a HAMPSHIRE FIRST BANK - bank account	A	Interest			Closed	11/19/19	J		
87. Trust #5 (H)									
88. - NBT Bank f/k/a HAMPSHIRE FIRST BANK - bank account	A	Interest	J	T					
89. Trust # 6 (H)									
90. -NBT BANK f/k/a HAMPSHIRE FIRST BANK - bank account	A	Interest			Closed	11/19/19	J		
91. Common PRINCIPAL FINANCIAL GROUP INC	A	Dividend	J	T					
92.									
93.									
94.									

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

Harwood, Bruce A.

Date of Report

08/11/2020

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

Part VII, Line 42: MERFX Merger Fund changed to MERIX Merger Fund on September 27, 2019 in an exchange transaction.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Harwood, Bruce A.

Date of Report

08/11/2020

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/ **Bruce A. Harwood**

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