

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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>Lauck, M H.                                                                                                                          | <b>2. Court or Organization</b><br><br>U. S. District Court for the Eastern District of Virginia                                                                                                                                                                                         | <b>3. Date of Report</b><br><br>05/15/2020                     |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U. S. District Judge                                                          | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>1/1/2019<br>to<br>12/31/2019 |
| <b>7. Chambers or Office Address</b><br><br>U.S. District Court, EDVA<br>701 East Broad Street, Suite 6112<br>Richmond, VA 23219-3528                                                                     |                                                                                                                                                                                                                                                                                          |                                                                |
| <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. Custodian             | Wells Fargo Custodial Account      |
| 2. Board Member          | Federal Bar Association            |
| 3. Advisory Board Member | Higher Achievement, Richmond       |
| 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

Lauck, M H.

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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.)*

DATE

SOURCE AND TYPE

INCOME  
(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.)*

DATE

SOURCE AND TYPE

|         |  |  |
|---------|--|--|
| 1. 2019 |  |  |
| 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

|    |  |  |  |  |
|----|--|--|--|--|
| 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.)*

|    | <u>SOURCE</u> | <u>DESCRIPTION</u>                                                                 | <u>VALUE</u> |
|----|---------------|------------------------------------------------------------------------------------|--------------|
| 1. | Dana Di Carlo | Private and commercial flights, entertainment. (Lodging was personal hospitality.) | \$4,525.00   |
| 2. |               |                                                                                    |              |
| 3. |               |                                                                                    |              |
| 4. |               |                                                                                    |              |
| 5. |               |                                                                                    |              |

**VI. LIABILITIES.** *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☐NONE *(No reportable liabilities.)*

|    | <u>CREDITOR</u>  | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|----|------------------|--------------------|-------------------|
| 1. | American Express | Credit card        | K                 |
| 2. | Bank of America  | Credit card        | J                 |
| 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)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Wells Fargo bank accounts                                                                                               | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Wells Fargo Custodial bank account                                                                                      | A                                      | Interest                                      |                                                |                                           | Closed                                          | 09/21/19                | J                               |                                |                                                                   |
| 3. Brokerage account (H)                                                                                                   |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 4. - Celgene Corp                                                                                                          |                                        | None                                          |                                                |                                           | Sold                                            | 02/05/19                | J                               | C                              |                                                                   |
| 5. - Dunkin Brands Group Inc                                                                                               |                                        | Dividend                                      |                                                |                                           | Sold                                            | 02/05/19                | J                               | C                              |                                                                   |
| 6. - Exxon Mobil Corp                                                                                                      |                                        | Dividend                                      |                                                |                                           | Sold                                            | 02/05/19                | J                               | B                              |                                                                   |
| 7. - Lowes Companies                                                                                                       | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 02/05/19                | J                               | D                              |                                                                   |
| 8. - Paypal Holdings                                                                                                       |                                        | None                                          |                                                |                                           | Sold                                            | 02/05/19                | J                               | D                              |                                                                   |
| 9. - Under Armor, Inc. CL A                                                                                                |                                        | None                                          |                                                |                                           | Sold                                            | 02/05/19                | J                               | D                              |                                                                   |
| 10. - Under Armor, Inc. CL C                                                                                               |                                        | None                                          |                                                |                                           | Sold                                            | 02/05/19                | J                               | D                              |                                                                   |
| 11. - US Bancorp Del Com New                                                                                               | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 02/05/19                | J                               | B                              |                                                                   |
| 12. - Kohl's Corp Bond                                                                                                     |                                        | Interest                                      |                                                |                                           | Redeemed                                        | 01/24/19                | K                               | A                              |                                                                   |
| 13. - Fidelity Government Cash Reserves                                                                                    | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. - US Treasury Bills, zero coupon                                                                                       | A                                      | Interest                                      |                                                |                                           | Buy                                             | 02/08/19                | L                               |                                |                                                                   |
| 15. -                                                                                                                      |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/17/19                | J                               |                                |                                                                   |
| 16. -                                                                                                                      |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 05/28/19                | J                               |                                |                                                                   |
| 17. -                                                                                                                      |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/25/19                | K                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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                                             |                        |

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) |
| 18. -                                                                                                                      |                                        |                                        |                                                |                                    | Redeemed                                  | 07/11/19         | L                        |                         |                                                            |
| 19. GE SSP program (retirement) (H)                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 20. - GE Stock Fund                                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. - GE US Eqty fund                                                                                                      | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 22. - GE Income Fund                                                                                                       |                                        | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. - Wabtec Stock Fund (X) (spinoff)                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. TIAA CREF (retirement) (H)                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 25. - TIAA Traditional                                                                                                     |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 26. - CREF Stock R2                                                                                                        |                                        | None                                   | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. - CREF Growth R2                                                                                                       |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. - CREF Equity Index R2                                                                                                 |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 29. - CREF Social Choice R2                                                                                                |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 30. AT&T (Custodian)                                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. BNY Mellon (Custodian)                                                                                                 | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 32. VA529 College Savings Plan, prepaid, age-based, no control                                                             |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |

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

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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/ M H. Lauck

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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