

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) Kerrigan, Kathleen M.	2. Court or Organization United States Tax Court	3. Date of Report 04/25/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Tax Court 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 United States Tax Court 400 Second Street N.W. Washington, DC 20217		
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. _____	_____
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. 1998	Baker & Hostetler LLP 401(k) and 401(a) plan with former law firm (Reported in Part VII) All in one account managed by Fidelity and allowed to select from
2.	certain investments. Also, have option of rolling over into an IRA.
3.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kerrigan, Kathleen M.

Date of Report

04/25/2020

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.)

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.

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.

Name of Person Reporting	Date of Report
Kerrigan, Kathleen M.	04/25/2020

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. Schwab Roth Contributory IRA (H)									
2. - Janus Fund Janus Henderson Research (JAMRX)	A	Dividend	J	T					
3. \Schwab IRA Rollover (H)									
4. -Scwhab Value Adnvanage SWVXX F/K/A Bank Sweep	B	Int./Div.	M	T	Sold (part)	07/03/19	K		
5.					Sold (part)	08/01/19	K		
6.					Sold (part)	09/09/19	K		
7. -PONAX Pimco	A	Dividend	J	T					
8. -LISOX Lazard	A	Dividend	J	T					
9. - SFLNX Schwab Fundamental large	B	Dividend	K	T	Buy (add'l)	07/03/19	J		
10.					Buy (add'l)	08/01/19	J		
11.					Buy (add'l)	09/09/19	J		
12. - SFSNX Schwab Fundamental small	A	Dividend	J	T	Buy (add'l)	07/03/19	J		
13.					Buy (add'l)	08/01/19	J		
14.					Buy (add'l)	09/09/19	J		
15. -SWMCX Schwab Mid	A	Dividend	K	T	Buy	07/03/19	J		
16.					Buy (add'l)	08/01/19	J		
17.					Buy (add'l)	09/09/19	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.)

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 NONE (No reportable income, assets, or transactions.)

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18. Schwab One Account #1 (H)									
19. Janus Fund Janus Henderson Research (JAMRX)	A	Dividend	L	T					
20. Baker & Hostetler retirement account (H)									
21. - Fid Growth Co K (FGCKX)	B	Dividend				12/27/19	K		
22. -Fid Growth Co K6 (FGKFX)		None	K	T		12/27/19	J		
23. -MerWest Tot Rtn BD P (MWT SX)	A	Dividend	K	T					
24. Fid 500 Index (FXAIX)	C	Dividend	M	T					
25. - Baker & Hostetler Composite Fund		None	L	T					
26. - WFA Govt Securities (SGVIX)	A	Dividend	K	T					
27. Schwab Muni account (H)									
28. California ST GO 5%26 GQ2	B	Interest			Sold	06/18/19	K	C	
29. Central Florida 5%28 BH8	B	Interest	K	T					
30. Connecticut State 1.8%/36	A	Interest			Buy	06/28/19	M		
31.					Sold	12/04/19	M		
32. Fairfax County 5%24 LE6	A	Interest			Sold	03/12/19	K	C	
33. Fairfax Cnty VA SWR 5%31 JX4	B	Interest	K	T					
34. Fairfax Cnty VA WTR 5%27 DP6	A	Interest			Sold	06/26/19	K	B	

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.)

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 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. Henrico County VA 5%27 MS2	B	Interest	L	T					
36. Long Island Power 5%27 BJ8	B	Interest	K	T					
37. Lower Co River Auth TX RQ6	B	Interest	K	T					
38. Mass St. 5.25%24 AEO	B	Interest			Sold	05/15/19	K	B	
39. Mass Dept/ 5%27 HWY DF6	B	Interest			Sold	05/15/19	K	B	
40. Mass St. Health 1,47.31% SV1		None	M	T	Buy	12/15/19	M		
41. Hampton Roads 5%27 JS3	A	Interest			Sold	01/09/19	K	B	
42. Hampton Roads 5% 27 JU8	B	Interest	K	T	Buy (add'l)	05/15/19	K		
43. Hampton Roads SANTN 5%30 HH9	A	Interest	K	T	Buy	03/14/19	K		
44. Met T Auth NY Rev 5%24 FK8	B	Interest	K	T					
45. Met T Auth NY Rev 5%/28 JN8	B	Interest	K	T					
46. Michigan St Hosp. FA 5%25 QN9	B	Interest	K	T					
47. MN ST GEN FD 5%26 BX7	B	Interest	K	T					
48. MN ST Gen FD 5%34 HOSP DZ3	B	Interest	K	T					
49. New Jersey Turnpike 5%30 TPK 4Z5	B	Interest	K	T					
50. New York St Dorm 5%/25 UT2	B	Interest			Sold	05/15/19	K	B	
51. Ohio ST Water 5%29 XU1	B	Interest	L	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

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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

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NONE (No reportable income, assets, or transactions.)

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52. Seattle WA LT PW 5%29 PU2	B	Interest	K	T					
53. Virginal College BL 5%28 EB0	B	Interest	L	T	Buy (add'l)	05/14/19	K		
54. Virginina College 5%27 FFO	B	Interest	L	T	Buy	05/14/19	L		
55. Virginia Commonwealth TR 5%25 BV1	B	Interest	K	T					
56. Virginia St. PUB Bldg 5%24 L86	A	Interest			Sold	03/12/19	K	A	
57. Virginia ST 5%24 5J7	A	Interest	J	T					
58. Virginia ST RES Aut 5%26 XG3	B	Interest	L	T					
59. Virginina St Res Auth 5%/25 QK1	B	Interest	K	T					
60. Virginia St. Water Auth 5%/24 PH0	A	Interest	K	T					
61. Vrrginia Res 'Auth 5%24 5A6	A	Interest	J	T					
62. Virginia State Res. 5%27 2Q4	B	Interest	L	T	Buy	05/10/19	L		
63. Univeristy of TX 6D6	B	Interest	K	T					
64. University of TX GQ2 (x)	B	Interest			Sold	05/13/19	K	B	
65. Washington State 5%33 6N3	A	Interest	K	T	Buy	02/08/19	K		
66. West Virginia 5%28 ZB0	A	Interest	K	T					
67. Schwab 1 Account # 2 (H)									
68. -JP Morgan Chase common stock (JPM)	B	Dividend	L	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

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Name of Person Reporting

Kerrigan, Kathleen M.

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69. -Walgreen Company common stock (WBA)	A	Dividend	K	T					
70. -Matthews India Fund (MINDX)	D	Dividend	L	T					
71. -Schwab Total Stock Mkt (SWTSX)	B	Dividend	N	T					
72. -Vanguard Value Index (VIVAX)	D	Dividend							
73. - Vnguard Value Indes (VVIAX)	D	Dividend	O	T					
74. - Yacktmán Fund (YACKX)	F	Dividend	P1	T					
75. - SCHW INTL EQ ETF (SCHF)	B	Dividend	L	T					
76. - Scwab Value Advantage Money Fund FNA Schwab Bannk Sweep SWVXX	A	Int./Div.	L	T	Buy	04/18/19	K		
77.					Sold (part)	05/28/19	J		
78.					Sold (part)	11/25/19	K		
79. Schwab Rollover IRA #2 (H)									
80. - Templeton Dragon Fund (TDF)	A	Dividend	K	T					
81. - PIMCO Total Return Fund (PTTRX)	B	Dividend	M	T					
82. - Blackrock Latin America (MDLTX)	A	Dividend	J	T					
83. - Matthews India Fund (MINDX)	C	Dividend	K	T					
84. - Schwab Total Stock MKT (SWTSX)	G	Dividend	P1	T					
85. Schwab Value Advantage FNA Bank Sweep SWVXX	A	Int./Div.	L	T					

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86. - SCW INTL EQ ETF (SCHF)	C	Dividend	M	T					
87. - Yacktman Fund (YACKX)	A	Dividend	K	T					
88. -Schwab S&P 500 Index (SWPPX)	B	Dividend	L	T					
89. Schwab Short-term Muni (H)									
90. -ME Govt FAC TG9		None	K	T	Buy	12/18/19	K		
91. -Hampton Road Sant GJ6		None	K	T	Buy	12/18/19	K		
92. -Chat TN HLTH DZ4		None	J	T	Buy	12/19/19	J		
93. -Texas ST PY7		None	K	T	Buy	12/27/19	K		
94. -VA ST PUB Building Authrity J63		None	K	T	Buy	12/30/19	K		
95. -C Schwab Bank		None	M		Open	12/17/19	M		
96. -Schwab Premier Bank		None	M	T	Open	12/17/19	M		
97. Schwab Intell Portfolio (H)									
98. -Schwab Fundamental FNDA	A	Dividend	J	T	Buy	10/31/19	J		
99. -Schwab Fundamental International FNDC	A	Dividend	J	T	Buy	10/31/19	J		
100. -SBDR BLMBRG EBND	A	Dividend	J	T	Buy	10/31/19	J		
101. -Xtrackers HYL B	A	Dividend	J	T	Buy	10/31/19	J		
102. -Schwab Fundamental FNDX	A	Dividend	K	T	Buy	10/31/19	J		

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103. -Schwab Fundamental large FNDP	A	Dividend	J	T	Buy	10/31/19	J		
104. -Schwab US large SCHX	A	Dividend	J	T	Buy	10/31/19	J		
105. -SPDT INTERMED SPIB	A	Dividend	J	T	Buy	10/31/19	J		
106. -Vanguagr Mortgage VMBS	A	Dividend	J	T	Buy	10/31/19	J		
107. Schwab Emerging Markets SCHE	A	Dividend	J	T	Buy	10/31/19	J		
108. -Schwab Int Small Cap SCHC	A	Dividend	J	T	Buy	10/13/19	J		
109. -Schwab US REIT SCHH	A	Dividend	J	T	Buy	10/31/19	J		
110. -I Schare Gold IAU		None	J	T	Buy	10/31/19	J		
111. -Schwab US TIPS ETF SCHP	A	Dividend	J	T	Buy	10/31/19	J		
112. -Schwab Fund EMG MKTS FNDE	A	Dividend	J	T	Buy	10/31/19	J		
113. -Schwab International SCHF	A	Dividend	J	T	Buy	10/31/19	J		
114. -Schwab Intermediate SCHR	A	Dividend	J	T	Buy	10/31/19	J		
115. -Schwab us small SCHA	A	Dividend	J	T	Buy	10/31/19	J		
116. - Xtrackers INTL Real HAUZ	A	Dividend	J	T	Buy	10/31/19	J		
117. -Schwab Savings Sweep	A	Interest	J	T	Open	10/30/19	L		
118. Schwab Compare Intel (H)									
119. - Schwab S&P 500 SWPPX	B	Dividend	M	T	Buy	11/25/19	L		

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

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)
120. Bank of America Series of Accounts (H)	A	Interest	M	T					
121. American Express Savings Account	D	Interest	N	T					
122. Capitol One Savings Account (2 accounts)	D	Interest	P1	T					
123. Discover Bank Savings Account	C	Interest	M	T					
124. EDSC Limited Partnership	D	Rent	O	W					
125.	E	Interest							
126. VSSC Limited Partnership	E	Rent	M	W					
127.	A	Interest							
128. THSC Limited Partnership	E	Rent	O	W					
129.	E	Interest							
130. Falstaff Center LLP		None	L	W					
131. PHSA Medical Center LLC	E	Rent	N	W					
132.	B	Interest							
133. TPJ Valley Ranch Investors LLC		None			Sold	2/19/19	P1	G	

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

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Name of Person Reporting

Kerrigan, Kathleen M.

Date of Report

04/25/2020

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

In Part VII. Investments and Trusts, lines 124, 126, 128, 131, and 133 are all limited partnership investments in real estate. Line 130 Fallstaff is residual interest in a real estate partnership. For the limited partnership interests reported on lines 124, 128, and 131, there is also a loan to the partnership. The value of the loan is included in the value of the asset and any interest paid on the loan has been reported.

In Part VII Investments and Trusts, lines 27-66 are tax exempt bonds in a Schwab account managed by GW&K investment management. Line 64 University of Texas GQ2 was inadvertently not included on the 2018 report.

In Part VII Investments and Trusts, see lines 21 and 22. On 12/27/19 Fid Growth K was exchanged for Fid Growth K6.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kerrigan, Kathleen M.

Date of Report

04/25/2020

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/ **Kathleen M. Kerrigan**

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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Washington, D.C. 20544