

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Tancredi, James J.	2. Court or Organization US Bankruptcy Court - District of Connecticut (Hartford)	3. Date of Report 6/25/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Ribicoff Federal Courthouse 450 Main St Hartford, Ct 06103		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Past President	Hartford County Bar Assn Hartford Ct 06001
2. Director	CT TMA
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.		
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	Avon Bd of education/ Kelly services (per diem compensation for teaching)
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. ABI NE Conference	july 12 -14,2018	Smuggler's Notch, Stowe Vt	Bankruptcy Cle panel	food, seminar fees,lodging, auto mileage from home
2. ABI Spring Mtg	april 19-22,2018	Marriott, Wash Dc	Bankruptcy Cle panel for ABC	same
3. Ct Tma	april 27,2018	Mohegan Sun , Uncasville Ct	Bkcy Judges panel	same
4. NYIC 100 yrs	june 11, 2018	Ny, Ny (restaurant)	100 yr anniv celebration: presenter at tribute to Harvey Gross	attendance fee
5. CBA 1st bkcy conference	Oct4,2018	Water's Edge Resort , Westbrooke, Ct	Bankruptcy CLE panels / Bkcy Judge's panel	attendance fee

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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.		
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. all credit cards (retired every month to zero)	revolving credit cards with Amex, Bank of America, Discover, Capital One, Wells Fargo, People's United ,	J
2. Amex and Kohl's (retired) every month to zero	revolving credit	J
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. Day Pitney Pen. and 401k (T Rowe PriceRet 2000 and pers. choice act)*	D	Int./Div.	P1	T					
2. People's United Financial Inc common stock (custodial ownership)	A	Dividend	J	T					
3. Bank of America	A	Interest	L	T					
4. People's United bank	A	Interest	J	T					
5. *Apple common stock (AAPL)	A	Dividend	K	T					
6. *AIG focused Div Strat A (FDAX)	A	Dividend	J	T					
7. *SPDR S&P 500 ETF (SPY)	A	Dividend	K	T					
8. Bank Sweep SCHWABB	C	Interest	P1	T					
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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.)*

In connection with my appointment by the 2nd Circuit on Sept 1, 2016, I withdrew as an equity partner from my law firm (Day Pitney LLP) on Aug 31, 2016 and was fully paid my capital account and remaining compensation before I was sworn in. Prior to my appointment, over a period in excess of 2 years, I liquidated substantially all stocks, other securities and bonds in my law firm pension, except as otherwise noted herein: While most of my pension account is in cash/money markets in 2018, there were those securities noted in Section VII with an *. I had mistakenly believed those positions had also been liquidated with my departure from the firm in 2016. I hold no other securities, except for a few shares in People's United Financial Inc shown in Sec VII (valued less than \$5000) long held in custodial ownership [REDACTED]. The stock certificate has been misplaced or lost, creating difficulties and delays in an assignment or sale of this stock. This position will be transferred or liquidated in 2019. I have in 2019 now moved all my pension funds away from my individual account at Schwab, who was also the administrator of my former firm's pension plan. My firm made no further contributions or advances to my pension account after my withdrawal as partner.

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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/ James J. Tancredi**

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)

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