

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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>BAILEY, FRANK J.                                                                                               | <b>2. Court or Organization</b><br><br>BANKRUPTCY COURT-MASSACHUSETTS                                                                                                                                                                  | <b>3. Date of Report</b><br><br>01/06/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>BANKRUPTCY JUDGE                                        | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2018<br>to<br>12/31/2018 |
|                                                                                                                                                                                     | <b>5b.</b> <input checked="" type="checkbox"/> Amended Report                                                                                                                                                                          |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>JOHN W. MCCORMACK<br>POST OFFICE AND COURTHOUSE<br>5 POSTOFFICE SQUARE<br>BOSTON, MA 02108                                              |                                                                                                                                                                                                                                        |                                                                  |
| <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. |                                                                                                                                                                                                                                        |                                                                  |

## 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. BOARD CHAIR             | IMMIGRANT LEARNING CENTER             |
| 2. TREASURER               | MARCUS FOUNDATION                     |
| 3. BOARD MEMBER            | INSTITUTE FOR IMMIGRATION RESEARCH    |
| 4. GOVERNOR(FIRST CIRCUIT) | NATIONAL CONF. OF BANKRUPTCY JUDGES   |
| 5. IMMEDIATE PAST CHAIR    | NATIONAL CONF. FED. TRIAL JUDGES, ABA |

## 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**

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Name of Person Reporting

BAILEY, FRANK J.

Date of Report

01/06/2020

**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><br>(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<br>BANKRUPTCY INSTITUTE | JANUARY 17-19,<br>2018          | TAMPA, FL        | EDUCATION PANEL         | TRAVEL,HOTEL & MEALS          |
| 2. | AMERICAN BAR<br>ASSOCIATION      | JANUARY 31-<br>FEBRUARY 4, 2018 | VANCOUVER, BC    | ABA MIDYEAR             | TRAVEL,HOTEL & MEALS          |
| 3. | AMERICAN BAR<br>ASSOCIATION      | APRIL 11-13, 2018               | ORLANDO, FL      | BUSINESS LAW<br>MEETING | TRAVEL, HOTEL & MEALS         |
| 4. | AMERICAN<br>BANKRUPTCY INSTITUTE | APRIL 27, 2018                  | MASHANTUCKET, CT | EDUCATION PANEL         | TRAVEL,HOTEL & MEALS          |
| 5. | AMERICAN BAR<br>ASSOCIATION      | JUNE 20-22, 2018                | DENVER, CO       | ABA BOARD OF GOV.       | TRAVEL, HOTEL & MEALS         |

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|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| BAILEY, FRANK J.         | 01/06/2020     |

|     |                                          |                        |                |                    |                      |
|-----|------------------------------------------|------------------------|----------------|--------------------|----------------------|
| 6.  | AMERICAN<br>BANKRUPTCY INSTITUTE         | JULY 12-14, 2018       | STOWE, VT      | EDUCATIONAL PANEL  | TRAVEL,HOTEL & MEALS |
| 7.  | AMERICAN BAR<br>ASSOCIATION              | AUGUST 2-6, 2018       | CHICAGO, IL    | ABA ANNUAL MTG     | TRAVEL,HOTEL & MEALS |
| 8.  | NATIONAL CONFERENCE<br>BANKRUPTCY JUDGES | OCTOBER 29-31,<br>2018 | SAN ANTONIO,TX | EDUCATIONAL PANELS | TRAVEL,HOTEL & MEALS |
| 9.  |                                          |                        |                |                    |                      |
| 10. |                                          |                        |                |                    |                      |
| 11. |                                          |                        |                |                    |                      |
| 12. |                                          |                        |                |                    |                      |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| BAILEY, FRANK J.         | 01/06/2020     |

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

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| BAILEY, FRANK J.         | 01/06/2020     |

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<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) |
| 1. BANK OF AMERICA                                                                                                         | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 2. SANTANDER BANK                                                                                                          | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. HOSPITALITY TRUST                                                                                                       | D                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 4. SENIOR HOUSING TRUST                                                                                                    | D                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. PUTNAM MM CLASS A                                                                                                       | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. FRANKLIN GROWTH                                                                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. MFS GLOBAL TOTAL RETURN CLASS A                                                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. FRANKLIN MUTUAL SERIES MUTUAL SHARES CLASS A                                                                            | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 9. PUTNAM MM CLASS A                                                                                                       | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 10. FEDERATED INTERNATIONAL SMALL MID CO CLASS A                                                                           | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. MASS INVESTORS TR CLASS A                                                                                              | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. MFS UTILITIES CLASS A                                                                                                  | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. PUTNAM GLOBAL HEALTH CARE CLASS A                                                                                      | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 14. TEMPLETON WORLD CLASS A                                                                                                | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 15. RMR REAL ESTATE FUND                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 16. UBS PACE LARGE CO GROWTH EQUITY                                                                                        | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 17. UBS PACE INTL EMERGING CLASS P                                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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. UBS PACE LARGE CO VALUE CLASS P                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 19. UBS PACE INTL EQUITY CLASS P                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. UBS PACE SMALL MED CO GROWTH CLASS P                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. UBS PACE SMALL MED CO VALUE CLASS P                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 22. UBS PACE GLOBAL FIXED INCOME CLASS P                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. UBS PACE MUNI FIXED CLASS P                                                                                            | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. UBS PACE MTGE-BACK SEC                                                                                                 | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 25. UBS PACE STRAT FIXED CLASS P                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 26. UBS PACE HIGH YIELD CLASS P                                                                                            | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. UBS PACE ALTERNATIVE STRAT CLASS P                                                                                     | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. FIDELITY FREEDOM 2025-SEP-IRA                                                                                          | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 29. WELLS FARGO -SENIOR PROPERTIES TRUST & HOSPITALITY PROPERTIES TRUST                                                    | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 30. PUTNAM MM CLASS A-IRA                                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. PUTNAM DYNAMIC ASSET ALLOC GROWTH-IRA                                                                                  | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 32. PUTNAM EQUITY INCOME-IRA                                                                                               | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 33. FRANKLIN EQUITY INCOME-IRA                                                                                             | A                                      | Dividend                               | 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

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) |
| 34. FRANKLIN INCOME-IRA                                                                                                    | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 35. FEDERATED CAPITAL RESERVES                                                                                             | B                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 36. FRANKLIN FLEX CAP GROWTH                                                                                               | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 37. FRANKLIN DYNATECH                                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 38. FRANKLIN SMALL MID CAP GROWTH                                                                                          | C                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 39. GROWTH FD OF AMERICA                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 40. IVY BALANCED                                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 41. MFS GROWTH                                                                                                             | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. MASS INVESTORS GROWTH                                                                                                  | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 43. VICTORY MUNDER MULTI-CAP                                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 44. MUTUAL SERIES BEACON                                                                                                   | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 45. NEW PRESPECTIVE                                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 46. VIRTUS STAT GROWTH                                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 47. FRANKLIN FLEX CAP GROWTH                                                                                               | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 48. FRANKLIN DYNATECH                                                                                                      | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 49. FRANKLIN SMALL MID CAP GROWTH                                                                                          | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 50. MFS GROWTH                                                                                                             | A                                      | Dividend                               | 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

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P3 =\$25,000,001 - \$50,000,000

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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

E =\$15,001 - \$50,000

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

BAILEY, FRANK J.

Date of Report

01/06/2020

**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<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) |
| 51. MASS INVESTORS GROWTH                                                                                                  | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 52. VICTORY MUNDER MULTI-CAP                                                                                               | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. MUTUAL SERIES BEACON                                                                                                   | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. PUTNAM INTL GROWTH                                                                                                     | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. AMERICAN FUNDS EUROPACIFIC-SEP                                                                                         | C                                      | Dividend                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. CAPITAL WORLD GROWTH &<br>INCOME-SEP                                                                                   | C                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. WASHINGTON MUTUAL INVESTORS-<br>SEP                                                                                    | C                                      | Dividend                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. AMERICAN FUNDS INTERMED. BOND<br>FD-SEP                                                                                | B                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. ALLIANZ HIGH FIVE FIXED PERIOD<br>ACCOUNT                                                                              | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. ALLIANZ HIGH FIVE AZL MVP FUSION<br>MODERATE                                                                           | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. NORTHWESTERN MUTUAL LIFE-<br>WHOLE LIFE POLICY                                                                         | C                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. NEW HAMPSHIRE CONDO,<br>WATERVILLE VALLEY, NH                                                                          |                                        | None                                          | K                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. FIDELITY ADVISOR EQUITY<br>GROWTH-RETIREMENT                                                                           | A                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. ALLNZ NFJ DIV VALUE-RETIREMENT                                                                                         | B                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. FIDELITY MID CAP II A-RETIREMENT                                                                                       | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. JANUS OVERSEAS-RETIREMENT                                                                                              | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. ALLNZ NF J DIV VALUE-DEFERRED<br>SAV                                                                                   | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 9 of 17

Name of Person Reporting

BAILEY, FRANK J.

Date of Report

01/06/2020

## 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<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) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 68. FIDELITY ADVISOR EQUITY GROWTH-DEFERRED SAV                                                                            | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 69. FIDELITY ADVISOR MID CAP-DEFERRED SAV                                                                                  | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. JANUS OVERSEAS-DEFERRED SAV                                                                                            | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. FIDELITY MAGELLAN-IRA                                                                                                  | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72. SUNAMERICA FOCUSED DIV STRAT                                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 73. PRIME MM FD RBC INVESTOR CLASS                                                                                         | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 74. BLACKROCK BR MOD 17 AGE BASED                                                                                          | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75. BLACKROCK BR MODE 17+ AGE BASED                                                                                        | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 76. GUARDIAN LIFE INS CO-WHOLE LIFE POLICY                                                                                 | D                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 77. ALLNZ NFJ SMALL CAP VALUE-DEFERRED                                                                                     | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 78. FIDELITY FREEDOM 2020-SEP IRA                                                                                          | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 79. PERSHING GOVT MM                                                                                                       | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 80. FIDELITY CASH RESERVES                                                                                                 | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 81. INTL COL/ACORN INTL A-DEFERRED                                                                                         | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 82. OPPENH DEVELOPING MARKETS-RETIREMENT                                                                                   | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 83. OPPENH DEVELOPING MARKETS-DEFERRED                                                                                     | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 84. CAPITAL ONE                                                                                                            | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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) |
| 85. INVESCO AMERICAN FRANCHISE FD                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 86. UBS PACE MORTGAGE-BACKED SEC<br>FIXED                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 87. PIMCO INCOME BOND RETIREMENT<br>FUND                                                                                   | A                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 88. PIMCO INCOME A DEFERRED                                                                                                | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 89. INVESCO AMERICAN FRANCHISE<br>FUND                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 90. CAPE COD HOUSE-\$465,000-05/18/2015                                                                                    |                                        | None                                   | N                                              | R                                  |                                           |                  |                          |                         |                                                            |
| 91. WELLS FARGFO BANK                                                                                                      | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 92. AIG FOCUSED DIV STRATEGY                                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 93. COLUMBIA DIV INC A                                                                                                     | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 94. TD BANK                                                                                                                | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 06/01/18         | J                        |                         |                                                            |
| 95. FIDELITY INTL SMALL CAP OPP                                                                                            | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/01/18         | J                        |                         |                                                            |
| 96. MFS NEW DISC VALUE                                                                                                     | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/01/18         | J                        |                         |                                                            |
| 97.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 98.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 99.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 100.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 101.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (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) |
| 102.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 103.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 104.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 105.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 106.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 107.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 108.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 109.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 110.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 111.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 112.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 113.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 114.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 115.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 116.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 117.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 118.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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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

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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.)

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (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) |
| 119.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 120.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 121.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 122.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 123.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 124.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 125.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 126.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 127.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 128.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 129.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 130.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 131.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 132.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 133.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 134.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 135.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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(See Columns B1 and D4)

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (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) |
| 136.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 137.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 138.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 139.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 140.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 141.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 142.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 143.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 144.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 145.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 146.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 147.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 148.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 149.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 150.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 151.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 152.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 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<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) |
| 153.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 154.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 155.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 156.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 157.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 158.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 159.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 160.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 161.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 162.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 163.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 164.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 165.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 166.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 167.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 168.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 169.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 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<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) |
| 170.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

BAILEY, FRANK J.

Date of Report

01/06/2020

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

FOR THE FOLLOWING PART 1 POSITIONS, THERE IS NO REPORTABLE ASSET;

IMMIGRANT LEARNING CENTER

MARCUS FOUNDATION

INSTITUTE FOR IMMIGRATION RESEACH

NATIONAL CONF. OF BANKRUPTCY JUDGES

NATIONAL CONF. FED. TRIAL JUDGES, ABA

# FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

BAILEY, FRANK J.

Date of Report

01/06/2020

## 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/ FRANK J. BAILEY**

**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