

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Nevins, Ann M.	2. Court or Organization United States Bankruptcy Court District of Connecticut	3. Date of Report 8/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States Bankruptcy Court 157 Church Street, 18th Floor New Haven, Connecticut 06510		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Shipman & Goodwin, LLP -- Income from Partnership
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.				
2.				
3.				
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

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. Chase Bank	Credit Card	K
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Northwestern Mutual Account - General Money Market Fund Class B - GMMB	A	Interest	J	T					
2. People's United Bank Account	B	Interest	M	T					
3. Synchrony Bank	B	Interest	L	T					
4. CHET ADVISOR	B	Interest	M	T	Buy (add'l)	02/20/19	K		
5.					Buy (add'l)	04/10/19	K		
6. Northwestern Mutual Annuity (H)									
7. - Index 500 Stock (MSA)	A	Distribution	J	T	Sold (part)	07/16/19	J	A	
8.					Sold (part)	12/16/19	J	A	
9. - Index 600 Stock (MSA)	A	Distribution	J	T	Sold (part)	07/16/19	J	A	
10.					Sold (part)	12/16/19	J	A	
11. - Index 400 Stock (MSA)	A	Distribution	J	T	Sold (part)	07/16/19	J	A	
12.					Sold (part)	12/16/19	J	A	
13. - Intntl Equity MSA/Franklin Templeton	A	Distribution	J	T	Sold (part)	07/16/19	J	A	
14.					Sold (part)	12/16/19	J	A	
15. - Emerging Markets Equity (MSA/ Aberdeen) (was MSA/MFS ???)	A	Distribution	J	T	Sold (part)	07/16/19	J	A	
16.					Sold (part)	12/16/19	J	A	
17. -High Yeild Bond (MSA/Federated Invest.Mgm)	A	Distribution	J	T	Sold (part)	07/16/19	J	A	

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

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18.					Sold (part)	12/16/19	J	A	
19. - Select Bond (MSA/Wells Capital Mgmt Inc)	A	Distribution	J	T	Sold (part)	07/16/19	J	A	
20.					Sold (part)	12/16/19	J	A	
21. -- Strategic Bond (RIF)(formerly Russell Core Bond)	A	Distribution	J	T	Sold (part)	12/16/19	J	A	
22.					Sold (part)	07/16/19	J	A	
23. - Global Real Est Sec's (RIF)(formerly Russell Gbl Real Est Sec's)	A	Distribution	J	T	Sold (part)	12/16/19	J	A	
24.					Sold (part)	07/16/19	J	A	
25. Northwestern Mutual SEP (H)									
26. - INVESCO Equally Wgtd S&P 500 FdClass Y VADDX	A	Dividend	K	T	Sold (part)	12/24/19	J	A	
27.					Sold (part)	04/23/19	J	B	
28.					Buy (add'l)	08/20/19	J		
29. - The Growth Fund of America Class F-2 GFFFX	B	Dividend	K	T	Sold (part)	01/15/19	J	A	
30.					Sold (part)	04/22/19	J	A	
31.					Buy (add'l)	08/19/19	J		
32.					Sold (part)	12/23/19	J	A	
33. - Vanguard Specialized Portfolio Div App ETF - VIG	A	Dividend	K	T	Sold (part)	12/24/19	J	A	
34.					Sold (part)	04/23/19	J	B	

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3 Value Method Codes (See Column C2)					

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Sold (part)	08/19/19	J	A	
36. - ISHARES TR S&P MC 400VL ETF - IJJ	B	Dividend	K	T	Sold (part)	01/16/19	J	A	
37.					Sold (part)	04/23/19	J	A	
38.					Buy (add'l)	08/20/19	J		
39.					Sold (part)	12/24/19	J	A	
40. - ISHARES TR CORE S&P 500 ETF - IVV	B	Dividend	K	T	Buy (add'l)	08/20/19	J		
41.					Sold (part)	04/23/19	J	B	
42.					Sold (part)	12/24/19	J	A	
43. - ISHARES TR SP SMCP600VL ETF - IJS	A	Dividend	K	T	Buy (add'l)	08/20/19	J		
44.					Sold (part)	04/23/19	J	A	
45.					Sold (part)	12/24/19	J	A	
46. - Capital World Growth and Income - F2 - WGIFX	B	Dividend	K	T	Buy (add'l)	08/19/19	J		
47.					Sold (part)	04/23/19	J	A	
48.					Sold (part)	12/24/19	J	A	
49. - Vanguard Total Intl Stock Index ADM - VTIAX	A	Dividend	K	T	Buy (add'l)	12/24/19	J		
50.					Sold (part)	04/23/19	J	A	
51.					Buy (add'l)	08/19/19	J		

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52. - Vanguard Intl Equity Index F FTSE EMR MKT ETF - VWO	A	Dividend	M	T	Sold (part)	12/24/19	J	A	
53.					Sold (part)	04/23/19	J	A	
54.					Buy (add'l)	08/20/19	J		
55. - Vanguard REIT Index Fund Admiral Shares - VGSIX	A	Dividend	K	T	Sold (part)	08/19/19	J	A	
56.					Sold (part)	04/23/19	J	A	
57.					Buy (add'l)	12/23/19	J		
58. - Capital World Bond Fund-F2 -- BFWFX	A	Dividend	K	T					
59. - Templeton GLBL Bond Fund Adisor Clas - TGBAX	A	Dividend	K	T	Buy (add'l)	04/22/19	J		
60.					Buy (add'l)	08/20/19	J		
61.					Buy (add'l)	12/23/19	J		
62. - Vanguard High Yield Corporate Bond Fund - VWEAX	A	Dividend	K	T	Sold (part)	08/19/19	J	A	
63.					Buy (add'l)	04/22/19	J		
64.					Buy (add'l)	12/23/19	J		
65. - Vanguard Interim Term Bond Index Fund Admiral Share - VBILX	B	Dividend	L	T	Buy (add'l)	04/22/19	J		
66.					Sold (part)	08/19/19	J	A	
67.					Buy (add'l)	12/23/19	J		
68. - Vanguard Short-Term Bond Index Fund Admiral Shares - VBIRX	B	Dividend	L	T	Buy (add'l)	01/15/19	J		

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69.					Buy (add'l)	04/22/19	J		
70.					Buy (add'l)	12/23/19	J		
71.					Sold (part)	08/19/19	J	A	
72. - Vanguard Total Bond Market Index Fund Admiral Shares - VBTXX	A	Dividend	L	T	Buy (add'l)	04/22/19	J		
73.					Sold (part)	08/19/19	J	A	
74.					Buy (add'l)	12/23/19	J		
75. - BNY Mellon Global Fixed Income Class 1 - SDGIX -	A	Dividend	K	T	Sold (part)	08/19/19	J	A	
76.					Buy (add'l)	04/22/19	J		
77.					Buy (add'l)	12/23/19	J		
78. - Northwestern Mutual Money Market	A	Interest	J	T					
79. Vanguard Retirement Account (H)									
80. - Dodge & Cox Intl Stock	C	Dividend	L	T	Buy (add'l)	03/31/19	J		
81.					Buy (add'l)	06/30/19	J		
82.					Buy (add'l)	09/30/19	J		
83.					Buy (add'l)	12/31/19	J		
84. - Vanguard Extended Mkt Index Adm	B	Dividend	L	T	Buy (add'l)	03/31/19	J		
85.					Buy (add'l)	06/30/19	J		

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86.					Buy (add'l)	09/30/19	J		
87.					Buy (add'l)	12/31/19	J		
88. - Vanguard Total Bond Mkt Indx Fund Adm	D	Dividend	M	T	Buy (add'l)	03/31/19	J		
89.					Buy (add'l)	06/30/19	J		
90.					Buy (add'l)	09/30/19	J		
91.					Buy (add'l)	12/31/19	J		
92. - Vanguard Inst Index Fund Inst	D	Dividend	N	T	Buy (add'l)	03/31/19	J		
93.					Buy (add'l)	06/30/19	J		
94.					Buy (add'l)	09/30/19	J		
95.					Buy (add'l)	12/31/19	J		
96. - Vanguard Retirement Savings Trust III (Money Mkt Acct)	C	Int./Div.	M	T	Buy (add'l)	03/31/19	J		
97.					Buy (add'l)	06/30/19	J		
98.					Buy (add'l)	09/30/19	J		
99.					Buy (add'l)	12/31/19	J		
100. - Vanguard Tot Intl Stock Ix Adm	B	Dividend	L	T	Buy (add'l)	03/31/19	J		
101.					Buy (add'l)	06/30/19	J		
102.					Buy (add'l)	09/30/19	J		

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103.					Buy (add'l)	12/31/19	J		
104. Old Dyer Investment, LLC, n/k/a Old Hill Setauket	B	Distribution	K	U					
105. Shipman & Goodwin LLP Cash Balance Retirement Plan	D	Interest	N	W	Buy (add'l)	01/31/19	L		
106. Coca Cola	A	Dividend	J	T	Open	01/31/19	J		
107.									

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

Regarding items in Section VII:

(1) Dreyfus/Standish Global Fixed Income Class 1 - SDGIX - is now known as BNY Mellon Global Fixed Income Class 1 - SDGIX

(2) Old Dyer Investment, LLC is now known as Old Hill Setauket, LLC.

(3) As part of [REDACTED] law firm's retirement package for partners, a "Cash Balanace Retirement Plan" was added to other retirement benefit plans (such as a 401(k) plan and Keough investment plan) in 2013. I have not previously reported this asset as I have only recently understood it is something different from the 401(k) plan. My understanding is that this plan was initially funded in 2013 by contributions from [REDACTED] compensation. Thereafter, he made annual contributions to the plan. Section VII of the report therefore lists this investment in this 2019 report for the first time, and reflects the additional contribution he made in the reporting year. The amount in column A is an estimate, based on my understanding that the Cash Balance Retirement Plan has a target performance of four (4%) percent per annum. The investment is known as the "Shipman & Goodwin, LLP Cash Balance Retirement Plan."

(4) I purchased \$100 of Coca Cola stock in approximately 1992. In preparing information for tax returns this year I realized this stock -- along with the \$13 per year dividends -- has been omitted from prior FiDO reports. I have now listed the stock in this 2019 report for the first time. Its value is less than \$1000. I was unable to reflect the correct "Open" date (it triggered an audit flag) and therefore I used a date of 1/1/2019 in order to add this information to my financial disclosures. There was no purchase or sale of this stock in 2019.

Please let me know if there is additional or different corrective action I need to take regarding items (3) and (4).

Thank you

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Nevins, Ann M.

Date of Report

8/12/2020

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/ **Ann M. Nevins**

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