

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) Stearns, Richard G.	2. Court or Organization District Court of Massachusetts	3. Date of Report 08/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge (Active)	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 Moakley Federal Courthouse, Suite 7100 One Courthouse Way Boston, MA 02210		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member	Massachusetts Prosecutor's Guide, LLC
2. Trustee (non-compensated)	Vincent Memorial Foundation (Massachusetts General Hospital)
3. Counselor (non-compensated)	American Bar Association CEELI Council
4. Trustee (non-compensated)	Trust #1
5. Trustee (non-compensated)	Trust #2

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

Page 2 of 7

Name of Person Reporting

Stearns, Richard G.

Date of Report

08/13/2020

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> (yours, not spouse's)
1. 2019	Massachusetts Prosecutor's Guide, LLC (book royalties)	\$28,225.00
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	self-employed management services consultant
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.	Center for Study of New Security Challenges	April 5-6, 2019	Budapest, Hungary	Artificial intelligence seminar presentation	partial travel and lodging
2.	New York University Civil Jury Project	May 9-10, 2019	New York, New York	Civil jury seminar participant	travel, meals, and lodging
3.	Center for Study of New Security Challenges	December 3-5, 2019	Budapest, Hungary	Artificial intelligence seminar presentation	partial travel and lodging
4.					
5.					

Name of Person Reporting	Date of Report
Stearns, Richard G.	08/13/2020

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

Page 4 of 7

Name of Person Reporting

Stearns, Richard G.

Date of Report

08/13/2020

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 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) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Everygy Common Stock	C	Dividend	M	T					
2. Bank of America Common Stock	B	Dividend	M	T					
3. Trust #1 PG&E Common Stock		None	K	T	Open	02/09/19	J		Inheritance
4. Trust #1 NiSource Common Stock	A	Dividend	J	T	Open	02/09/19	J		Inheritance
5. Trust #1 National Oil Well Varco Common Stock	A	Dividend	J	T	Open	02/09/19	J		Inheritance
6. Massachusetts Prosecutor's Guide, LLC Investment Portfolio									
7. - Fidelity Asset Manager 50 Fund	A	Dividend	L	T					
8. -Fidelity Equity Income II Fund	A	Dividend	L	T					
9. -Fidelity Growth & Income Fund	A	Dividend	J	T					
10. -Fidelity Spartan U.S. Treasury Fund	A	Dividend	J	T					
11. Bank of America Cash Equivalent Accounts	A	Interest	N	T					
12. Citizens Bank Cash Equivalent Accounts	A	Interest	L	T					
13. Citizens Bank Keogh Certificates of Deposit	B	Interest	M	T					
14. State Street Bank Common Stock (401K)	A	Dividend	N	T					
15. State Street MMF (401K)	A	Interest	L	T					
16. Fidelity Utilities Fund (IRA)	B	Dividend	K	T					
17. Fidelity Growth & Income Fund (Filer IRAs)	D	Dividend	O	T					

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

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

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)
18. Fidelity Equity Income II (Filer IRAs)	D	Dividend	O	T					
19. Fidelity Cash Reserves	A	Dividend	K	T					
20. Fidelity Government Bond IRA (IRA)	A	Dividend	K	T					
21. Bank of America IRA Certificates of Deposit	A	Interest	L	T					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Stearns, Richard G.

Date of Report

08/13/2020

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

Part I, line 4. Trust #1 is a revocable [REDACTED] trust. I acceded as trustee on February 9, 2019.

Part I, line 5. Trust #2 is scholarship and hospice trust established by an extended [REDACTED] member. I was appointed trustee on September 1, 1993. I receive no fees and have no beneficial interest in Trust #2. The beneficiaries are the University of Vermont and a terminally ill [REDACTED] member.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Stearns, Richard G.

Date of Report

08/13/2020

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/ **Richard G. Stearns**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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