

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) Shannon, Brendan L.	2. Court or Organization U.S. Bankruptcy Court for the District of Delaware	3. Date of Report 04/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Bankruptcy Court for the District of Delaware 824 Market Street Wilmington, DE 19801		
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. Adjunct Professor	St. John's University School of Law
2. Member	National Bankruptcy Conference
3. Editor	Collier on Bankruptcy
4. Editor	ABI Law Review
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
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. 2019	St. John's University School of Law, for teaching graduate classes at law school as adjunct professor	\$8,000.00
2. 2019	Rental income from mixed use, jointly owned property	\$10,900.00
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.	St. John's University School of Law	02/07/19 - 02/09/19	New York, NY	Educational activities other than judicial education	food, transportation, lodging
2.	American Bankruptcy Institute	05/21/19-05/22/19	New York, NY	Non-FJC educational seminar or program	food, transportation, lodging
3.	American Bankruptcy Institute	08/01/19-08/03/19	Hershey, PA	Activity of professional association or civic organization	food, transportation, lodging
4.	St. John's University School of Law	10/03/19-10/05/19	New York, NY	Educational activities other than judicial education	food, transportation, lodging

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5.	National Bankruptcy Conference	10/28/19/10/29/19	Washington, D.C.	Non-FJC educational seminar or program	food, transportation, lodging
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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.		
2.		
3.		
4.		
5.		

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. M & T Bank	A	Interest	J	T					
2. Vanguard Prime Money Market Investor CL (VMMXX)	A	Int./Div.	L	T					
3. Vanguard Intermediate Term Tax Exempt, Admiral CL (VWIUX)	E	Int./Div.	O	T					
4. Vanguard Health Care Admiral CL (VGHAX)	F	Int./Div.	N	T					
5.					Buy (add'l)	12/17/19	K		
6.									
7.									
8. Vanguard Total International Stock Index Fund, Admiral CL (VTIAX)	E	Int./Div.	L	T	Buy (add'l)	12/20/19	J		
9. Vanguard Total Stock Market Index Fund, Admiral CL (VTSAX)	E	Int./Div.	P1	T	Buy (add'l)	12/23/19	J		
10. Vanguard Prime Money Market Fund, IRA (VMMXX)		None	J	T					
11. Vanguard Diversitfied Equity Inv Fund, IRA (VDEQX)	F	Int./Div.	N	T					
12.					Buy (add'l)	12/27/19	J		
13. Vanguard Total International Stock Index Admiral Fund, IRA (VTIAX)	D	Int./Div.	L	T					
14.					Buy (add'l)	03/22/19	J		
15.					Buy (add'l)	06/20/19	J		
16.					Buy (add'l)	09/23/19	J		
17.					Buy (add'l)	12/20/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

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

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

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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. Vanguard Total Bond Market Index Admiral Fund, IRA (VBTLX)	D	Int./Div.	M	T					
19. Vanguard Diversified Equity Fund, IRA	E	Dividend	N	T	Buy (add'l)	12/27/19	K		
20. Vanguard Total International Stock Index Fund Admiral Shares, IRA	B	Dividend	L	T					
21.									
22. Fidelity Contrafund (FCNTX)		None	L	T					
23. Fidelity Low Priced Stock Fund (FLPSX)	D	Int./Div.	M	T					
24. Fidelity Low Priced Stock Fund, IRA (FLPSX)		None	K	T					
25. Fidelity 529 Education Account 2019 Fidelity Funds (age based)		None	K	T					
26.					Buy (add'l)	02/25/19	K		
27.					Buy (add'l)	07/06/19	K		
28.					Sold (part)	07/30/19	K		
29. Fidelity 529 Education Account 2018 Fidelity Funds (age based)		None	J	T					
30.					Sold (part)	02/25/19	K		
31.					Sold (part)	10/02/19	J		
32. Fidelity 529 Education Account 2021 Fidelity Funds (age based)		None	L	T	Sold (part)	07/06/19	K		
33.					Sold (part)	07/26/19	J		
34. Rental and ████████ property in Monroe County, PA	D	Rent	N	W					

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 \$5,000,000	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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☐ 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)
35. Vanguard Prime Money Market Investor CL (VMMXX)		None	J	T					
36.					Sold (part)	02/06/19	J	A	
37.					Sold (part)	02/26/19	J	A	
38.					Sold (part)	03/26/19	J	A	
39.					Closed	06/19/19	J	A	
40. Vanguard Total International Bond Index Fund Admiral Sh (VTABX), IRA	D	Int./Div.	M	T					
41.					Buy (add'l)	12/20/19	J		
42.					Buy (add'l)	06/18/19	J		
43. Vanguard Total International Stock Index Fund,Admiral Cl, IRAX (VTIAX)	A	Int./Div.	J	T					
44.									
45. Vanguard Total Bond Market Index, Admiral Cl, IRA (VBT LX) X	A	Int./Div.	J	T	Buy (add'l)	06/18/19	J		
46. Vanguard Total International Bond Index Admiral Class, IRA (VTABX)	E	Int./Div.	J	T					
47.					Buy (add'l)	06/18/19	J		
48.					Buy (add'l)	12/20/19	J		
49. Fidelity Contrafund IRA (FLPSX)	C	Int./Div.	L	T					
50. CREF Equity Index R1 (CREF M14642J-5) X	A	Int./Div.	J	T					
51.									

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
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52.									
53.									

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

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Brendan L. Shannon**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544