

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) BLAKE, CATHERINE C.	2. Court or Organization U S DISTRICT COURT, MARYLAND	3. Date of Report 08/09/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U S DISTRICT JUDGE, ACTIVE	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 7310 U S COURTHOUSE 101 WEST LOMBARD STREET BALTIMORE, MD 21201		
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. TRUSTEE	FARM TRUST
2. VICE-PRESIDENT	HISTORICAL SOCIETY OF THE UNITED STATES DISTRICT COURT FOR THE DISTRICT OF MARYLAND
3.	
4.	
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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Name of Person Reporting

BLAKE, CATHERINE C.

Date of Report

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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	RETIREMENT PENSION - CITY OF BALTIMORE
2. 2019	RETIREMENT PENSION - STATE OF MARYLAND
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.				

Name of Person Reporting	Date of Report
BLAKE, CATHERINE C.	08/09/2020

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.			

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Name of Person Reporting

BLAKE, CATHERINE C.

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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) 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. IRA-TRowePrice-Equity Income	C	Dividend	K	T	Redeemed (part)	04/22/19	J	A	see note Part VIII
2. IRA-TRowePrice-Growth Stock	C	Dividend	L	T	Redeemed (part)	04/22/19	J	A	
3. IRA-TRowePrice-New Era	B	Dividend	K	T	Redeemed (part)	04/22/19	J	A	
4. IRA-TRowePrice-Science&Technology	D	Dividend	L	T	Redeemed (part)	04/22/19	J	A	
5. IRA-TRowePrice-SpectrumIncome	C	Dividend	L	T	Redeemed (part)	04/22/19	J	A	
6. StateofMarylandDeferredCompensationPlan	C	Int./Div.	L	T	Redeemed (part)	11/01/19	J	A	
7. Wells Fargo Bank accounts	A	Interest	K	T					
8. IRA-First Financial Credit Union	A	Dividend	J	T					
9. Guardian Whole Life	G	Dividend			Redeemed	06/05/19	M	F	see note Part VIII
10. MetLife Whole Life	A	Dividend	J	T					
11. TRowePrice Md Tax-Free Bond Fund	C	Dividend	M	T	Buy (add'l)	07/18/19	J		
12.					Buy (add'l)	08/05/19	J		
13. IRA-Delaware StrategicIncomeFundClassA	B	Dividend	K	T					see note Part VIII
14. NewPerspFdClassA (American Funds)	B	Dividend	K	T					
15. Farm Trust (H)									
16. --Real Property Frederick County, MD		None	O	Q					see note Part VIII
17. TRowePrice 529 college savings plan Portfolio 2027	A	Int./Div.	K	T	Buy (add'l)	07/09/19	J		see note Part VIII

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		

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Name of Person Reporting

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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. TRowePrice 529 college savings plan Portfolio 2027	A	Int./Div.	K	T	Buy (add'l)	07/09/19	J		
19. IRA-FranklinLifeSmartRetirementIncomeFundClassA	D	Dividend	M	T	Redeemed (part)	10/01/19	J	A	see note Part VIII
20. MetLife annuity-fixed rate	A	Int./Div.	J	T					
21. MetLife annuity-fixed rate	C	Int./Div.	L	T					
22. Hilltop Securities brokerage account (H)									
23. --Hilltop Securities cash accoount	A	Interest	K	T					
24. --AT&T common stock	B	Dividend	K	T					
25. --BB&T common stock (now TRUIST FinlCorp	A	Dividend	K	T					see note Part VIII
26. --Eli Lilly & Co common stock	B	Dividend	L	T					
27. --Exxon Mobil Corp common stock	C	Dividend	L	T					
28. --Frontier Comm Corp Com New common stock					Sold	08/20/19	J		see note Part VIII
29. --Ill Tool Works common stock	A	Dividend			Sold	08/22/19	K	B	
30. --Johnson&Johnson common stock	A	Dividend	K	T					
31. --JPMorganChase& Co.common stock	A	Dividend	K	T					
32. --Merck&Co.Inc. common stock	A	Dividend	K	T					
33. --PPG Ind Inc common stock	A	Dividend	K	T					
34. --Verizon Comm common stock	B	Dividend	K	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	

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

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	(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)
35. --WWGrainger Inc common stock	A	Dividend	K	T					
36. --3M common stock	B	Dividend	K	T					
37. --Urstadt Biddle Properties Inc Class A	A	Dividend	J	T					
38. --DWS Mgd Mun Bond Fund Class A	B	Dividend	K	T					
39. --CommtyDevAdminMdRevB2011B	A	Interest	J	T					
40. --WashCoMdPubImpBd2011	A	Interest	J	T					
41. --MontCoMdRevBd 2011A	A	Interest	J	T					
42. --AnnapMdGOPubImp&RefBd 2012	A	Interest	J	T					
43. --MicrochipTechInc common stock	A	Dividend	K	T					
44. --Fluor Corp New commin stock	A	Dividend			Sold	08/20/19	J	A	
45. --Freeport McMoran Copper & Gold Inc common stock	A	Dividend			Sold	08/20/19	J	A	
46. --Helmerich&Payne Inc common stock	A	Dividend	K	T					
47. --AnneArundelCoMdCons GenObBd 2014	A	Interest	K	T					
48. --MdStateDeptTransConstBd 2015	A	Interest	K	T					
49. --MdHlth&HigherEdRevBd	A	Interest	K	T					see note Part VIII
50. --AnnapMdWtr&SwrRevBd	A	Interest	J	T	Buy	11/20/19	J		
51. TRowePrice 529 college savings plan Portfolio 2030	A	Int./Div.	K	T	Buy (add'l)	07/09/19	J		

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.)

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	(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)
52. TRowePrice 529 college savings plan Portfolio 2033	A	Int./Div.	K	T	Buy (add'l)	07/09/19	J		
53. TRowePrice 529 college savings plan Portfolio 2033	A	Int./Div.	K	T	Buy (add'l)	07/09/19	J		
54. TRowePrice 529 college savings plan Portfolio 2033	A	Int./Div.	K	T	Buy (add'l)	07/09/19	J		
55. M&T bank accounts	A	Interest	J	T					
56.									
57.									
58.									
59.									
60.									
61.									
62.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

Part VII Lines 1-6 and 19 These reflect RMDs.

Part VII line 9 This whole life policy was cashed in and the policy terminated in June 2019.

Part VII line 13 The name of this fund was changed with no action by me or my spouse.

Part VII Lines 15-16 The real property that was an asset of the estate transferred by deed dated May 7, 2012, into a trust (Farm Trust) of which I am Trustee. It is not income-producing. Appraisal was date of death of owner August 23, 2011.

Part VII lines 17-18, 51-54 For all the 529 Plans only the level of risk, not the individual assets, can be selected.

Part VII line 19 The name of this fund was changed with no action by me or my spouse.

Part VII line 25 BB&T merged with Sun Trust and became TRUIST Financial Corp. No other change.

Part VII line 28 This asset was below reporting value and was sold.

Part VII line 49 This bond was listed on line 59 last year, but should have been listed under the Hilltop Securities brokerage account

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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/ CATHERINE C. BLAKE**

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