

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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>Andrews, Richard G.                                                                                                                  | <b>2. Court or Organization</b><br><br>District of Delaware                                                                                                                                                                            | <b>3. Date of Report</b><br><br>04/17/2021                     |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>United States District Judge, Active                                          | <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>1/1/2020<br>to<br>12/31/2020 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                |
| <b>7. Chambers or Office Address</b><br><br>United States District Court<br>844 King Street, Box 19<br>Wilmington, Delaware 19801                                                                         |                                                                                                                                                                                                                                        |                                                                |
| <p align="center"><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.</p> |                                                                                                                                                                                                                                        |                                                                |

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|            |          |
|------------|----------|
| 1. Trustee | Trust #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. |  |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/17/2021

**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. 2020     | Villanova University School of Law, salary |
| 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. Conner Inn of Court | Feb. 5-6, 2020 | NYC, NY         | Panel Presentation | meals, travel, and lodging    |
| 2.                     |                |                 |                    |                               |
| 3.                     |                |                 |                    |                               |
| 4.                     |                |                 |                    |                               |
| 5.                     |                |                 |                    |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Andrews, Richard G.      | 04/17/2021     |

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 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/17/2021

## 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. Manulife Financial common                                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 2. Sun Life Financial common                                                                                               | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. ViacomCBS common                                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 4. CREF Growth Stock                                                                                                       |                                        | None                                   | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. CREF Stock                                                                                                              |                                        | None                                   | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. Fidelity Blue Chip Value Fund                                                                                           | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. Fidelity Freedom 2020                                                                                                   | D                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. John Hancock Cash Management IRA                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 9. TIAA Traditional                                                                                                        | E                                      | Interest                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 10. T. Rowe Price Growth & Income IRA                                                                                      | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11.                                                                                                                        | B                                      | Distribution                           |                                                |                                    | Sold<br>(part)                            | 12/01/20         | J                        | A                       |                                                            |
| 12. T. Rowe Price Health Sciences                                                                                          | E                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. T. Rowe Price New Income Fund IRA                                                                                      | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 14.                                                                                                                        | B                                      | Distribution                           |                                                |                                    | Sold<br>(part)                            | 12/01/20         | J                        | A                       |                                                            |
| 15. T. Rowe Price GNMA                                                                                                     | C                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 16. Invesco American Franchise Fund -- Class A                                                                             | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 17. Vanguard Capital Value Fund                                                                                            | A                                      | Dividend                               |                                                |                                    | Merged<br>(with line 18)                  | 07/24/20         | L                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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 5 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/17/2021

## 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. Vanguard Windsor Admiral Fund                                                                                          | D                                      | Dividend                               | L                                              | T                                  | Open                                      | 07/24/20         | L                        |                         |                                                            |
| 19. Vanguard Emerging Markets Admiral                                                                                      | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. Vanguard High Yield Corporate Admiral                                                                                  | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. Vanguard High Yield Tax Exempt Admiral #1                                                                              | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 22. Vanguard Intermediate Term Bond Index Admiral                                                                          | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. Vanguard Intermediate Term Tax Exempt Adm #1                                                                           | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. Vanguard Limited Term Tax Exempt Adm                                                                                   | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 25. Vanguard Long-Term Investment Grade Adm                                                                                | D                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 26. Vanguard Long-Term Tax Exempt Fund Admiral                                                                             | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. Vanguard Explorer Fund Admiral                                                                                         | E                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. Vanguard Total Intl Stock Index Inst                                                                                   | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 29. Vanguard Prime Money Market #1                                                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 30. Vanguard Prime Money Market #2                                                                                         | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. Vanguard REIT Inst                                                                                                     | D                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 32. Vanguard Extended Market Index Inst                                                                                    | B                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 33. Vanguard Total Stock Index Inst                                                                                        | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 34. Vanguard Target 2020 Fund IRA                                                                                          | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/17/2021

## 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) |
| 35.                                                                                                                        | B                                      | Distribution                           |                                                |                                    | Sold<br>(part)                            | 12/01/20         | J                        | A                       |                                                            |
| 36. Vanguard Target 2025 Fund IRA                                                                                          | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 37.                                                                                                                        | A                                      | Distribution                           |                                                |                                    | Sold<br>(part)                            | 12/02/20         | J                        | A                       |                                                            |
| 38. Vanguard Tax-Managed Capital<br>Appreciation Adm                                                                       | C                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 39. Vanguard Developed Markets Index<br>Admiral                                                                            | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 40. Vanguard Tax-Managed Small Cap Adm                                                                                     | C                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 41. Vanguard U.S. Growth Admiral IRA                                                                                       | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. Vanguard Wellington Admiral                                                                                            | E                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 43. Vanguard Windsor II Fund Admiral                                                                                       | E                                      | Dividend                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 44. M&T Bank Checking Accounts                                                                                             |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 45. John Hancock whole life ins. #1                                                                                        | C                                      | Dividend                               | M                                              | W                                  |                                           |                  |                          |                         |                                                            |
| 46. John Hancock whole life ins. #2                                                                                        | D                                      | Dividend                               | M                                              | W                                  |                                           |                  |                          |                         |                                                            |
| 47. Sun Life whole life ins. #1                                                                                            | A                                      | Int./Div.                              | J                                              | W                                  |                                           |                  |                          |                         |                                                            |
| 48. Exxon Mobil common #1 (Trust #1)                                                                                       | C                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 49. American Century Equity Income (Trust #1)                                                                              | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 50. American Century Disciplined Core Value<br>(Trust #1)                                                                  | D                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 51. DWS Strategic High Yield Tax Free Fund<br>(Trust #1)                                                                   | B                                      | 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 7 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/17/2021

## 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) |
| 52. DWS Intermediate Tax/AMT Free Fund (Trust #1)                                                                          | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. DWS Managed Municipal Bond Fund (Trust #1)                                                                             | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. Franklin Templeton Class Z (Trust #1)                                                                                  | D                                      | Dividend                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. Hennessy Cornerstone (Trust #1)                                                                                        | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. RBC Enterprise Fund Class I (Trust #1)                                                                                 | E                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. Fidelity Gov't MM #1 (Trust #1)                                                                                        | A                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. Fidelity Gov't MM #2                                                                                                   | A                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. Anglogold Ashanti LTD stock (Trust #1)                                                                                 | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. BAE Systems stock (Trust #1)                                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. BP Ord stock (Trust #1)                                                                                                | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. BP PLC ADR stock (Trust #1)                                                                                            | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. BT Group Ord stock (Trust #1)                                                                                          | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. Columbia Govt MM Fund-I (Trust #1)                                                                                     | A                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. Columbia Acorn Intl Fund-Z (Trust #1)                                                                                  | D                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. Diageo Ord stock (Trust #1)                                                                                            | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. Exxon Mobil common #2                                                                                                  | C                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. Fidelity Intl Discovery                                                                                                | C                                      | Dividend                                      | 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                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/17/2021

## 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) |
| 69. Fidelity New Markets Income                                                                                            | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 70. Fidelity Real Estate Inv (Trust #1)                                                                                    | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 71. Fidelity Select Biotech                                                                                                | E                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 72. Fidelity Select Health Care                                                                                            | E                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 73. Fidelity Strategic Inc (Trust #1)                                                                                      | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 74. Fidelity Tax-Free Bond (Trust #1)                                                                                      | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 75. Fidelity Value                                                                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 76. Freeport McMoran Inc stock (Trust #1)                                                                                  | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 77. Gabelli Equity                                                                                                         | D                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 78. HSBC Holdings PLC ADR stock (Trust #1)                                                                                 | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 79. Janus Overseas Fund Class T                                                                                            | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 80. Mercantile Investment Trust PLC (Trust #1)                                                                             | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 81. News Corp.stock (Trust #1)                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 82. Oakmark Equity & Income Fund                                                                                           | D                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 83. Public Service Enterprise Gp Inc stock (Trust #1)                                                                      | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 84. Schlumberger Ltd Com stock (Trust #1)                                                                                  | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 09/11/20         | J                        |                         |                                                            |
| 85. Templeton Dragon Fund Inc (Trust #1)                                                                                   | D                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 09/11/20         | K                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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) |
| 86. T. Rowe Price Corporate Income                                                                                         | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 87. T. Rowe Price High Yield Fund                                                                                          | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 88. Fox common stock (Trust #1)                                                                                            | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 89. Walt Disney common stock (Trust #1)                                                                                    | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 90. Unilever PLC stock (Trust #1)                                                                                          | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 91. United Parcel Service common (Trust #1)                                                                                | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 92. Vanguard European Stock Ind F Adm                                                                                      | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 93. Vanguard High Yield Tax-exempt # 2                                                                                     | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 94. Vanguard Intermediate-Term Tax Exempt<br>Adm #2                                                                        | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 95. Vanguard Pacific Stock Index F Adm                                                                                     | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 96.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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 10 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/17/2021

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

Re: Investments and Trusts, lines 17 & 18, on July 24, 2020, the Vanguard Capital Value Fund merged into the Vanguard Windsor Fund.

Re: Investments and Trusts, line 16, the "Van Kampen" dropped out of the name of the Invesco American Franchise Fund in about 2012.

Re: Investments and Trusts, line 50, the American Century fund formerly known as "Income & Growth" changed its name to "Disciplined Core Value" at some time in 2020. The fund's ticker symbol did not change.

Re: Investments and Trusts, line 41, the Vanguard U.S. Growth (an IRA) converted to Vanguard U.S. Growth Admiral (still an IRA) on about Sept. 1, 2020.

# FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Andrews, Richard G.

Date of Report

04/17/2021

## 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. Andrews**

**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