

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Shea, Michael P.	2. Court or Organization District of Connecticut	3. Date of Report 05/10/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address Abraham Ribicoff Building 450 Main Street Hartford, CT 06103		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Executor	██████████ Estate #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. 2012	Day Pitney LLP Retirement Plan, no control
2. 1998	Cleary Gottlieb Steen & Hamilton Retirement Plan, no control
3.	

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

A. Filer's Non-Investment Income



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

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

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

(Dollar amount not required except for honoraria.)



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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	Self-employed marriage and family therapist
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) 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. CHET Moderate Managed Allocation Option (529)		None	K	T	Sold (part)	07/30/20	J	A	
2.					Sold (part)	12/10/20	K	A	
3. CHET High Equity Option (529)		None			Sold	07/10/20	K	A	
4. Vanguard Midcap Index Fund		None	M	T					
5. Fidelity Blue Chip Growth Fund	A	Dividend	M	T					
6. Fidelity ContraFund	A	Dividend	J	T					
7. Vanguard Target 2030	A	Dividend	K	T					
8. T. Rowe Price Retirement 2030 Fund		None	L	T					
9. T. Rowe Price Inst'l Large Cap Core Fund		None	M	T					
10. Vanguard Emerging Markets Stock Index Fund	A	Dividend	K	T					
11. Vanguard High Yield Tax Exempt Fund	A	Dividend	K	T					
12. Vanguard Small Cap Value Index Admiral Fund	A	Dividend	M	T					
13. Vanguard Diversified Equity Investments Fund	A	Dividend	L	T					
14. Vanguard Inter-term Treasury	A	Dividend	J	T					
15. Vanguard Value Index Fund	B	Dividend	L	T					
16. Vanguard Inst'l Index Fund		None	M	T					
17. Vanguard Total International Stock Index Fund		None	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
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18. Vanguard Total Bond Market Index		None	L	T					
19. Vanguard Equity Income Admiral Fund		None	K	T	Buy	10/26/20	K		
20. Glenmede Small Cap Equity Inst'l		None			Sold	01/10/20	L	A	
21. American Beacon Large Cap Value Inst'l Fund		None			Sold	10/26/20	K	A	
22. Bank of America Accounts	A	Interest	M	T					
23. Morgan Stanley Private Bank	A	Interest	K	T					
24. AMZN		None			Sold	03/09/20	J	A	
25.		None	K	T	Buy	03/13/20	J		
26. AEP	A	Dividend			Sold	02/25/20	J	A	
27. AWK	A	Dividend			Sold	02/27/20	J	A	
28. AAPL		None			Sold	02/24/20	J	A	
29. T		None			Sold	01/29/20	J	A	
30.		None	K	T	Buy	12/07/20	K		
31. AGR		None			Sold	02/26/20	J		
32. BCE		None			Sold	02/27/20	J		
33. GLW		None			Sold	01/29/20	J	A	
34. CTVA		None			Sold	02/28/20	J		

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

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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. DOW		None			Sold	01/31/20	J	A	
36. DD		None			Sold	01/30/20	J		
37. ES		None			Sold	02/28/20	J	A	
38. JNJ	A	Dividend			Sold	02/25/20	J	A	
39.		None	J	T	Buy	12/07/20	J		
40. LOW		None			Sold	01/31/20	J	A	
41. MRK		None			Sold	02/05/20	J	A	
42. MSFT	A	Dividend			Sold	02/27/20	J	A	
43. NEE	A	Dividend			Sold	02/27/20	J	A	
44. PEP		None			Sold	02/27/20	J	A	
45. PFE	A	Dividend			Sold	01/30/20	J	A	
46. PG	A	Dividend			Sold	02/12/20	J	A	
47. VLO		None			Sold	01/31/20	J	A	
48. VZ		None			Sold	01/30/20	J		
49. QQQ		None			Sold	02/25/20	J	A	
50. IVW		None			Sold	02/25/20	J	A	
51. PDI	A	Dividend			Sold	02/25/20	J		

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52. HYHG	A	Dividend			Sold	02/27/20	J		
53. VIG		None			Sold	02/25/20	J	A	
54. Vanguard Short-term Corporate Bond Fund	A	Dividend	K	T	Buy	12/07/20	K		

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

Capital gain information has been provided based on available information. The calculation of capital gains for 529 plans (Part VII) are estimates based on account history; precise information is not available.

Fidelity Cash Reserves does not have a reportable amount (i.e., fair market value of over \$1,000 or income of over \$200) during the reporting period and has not for several years, even though it has been reported previously; it is no longer included on this report.

Please note that all assets of [REDACTED] Estate #1 were distributed and all liabilities paid before 12/31/20; [REDACTED] Estate #1 was closed earlier in 2021. Most of the assets reflecting my beneficial share of [REDACTED] Estate #1 were sold in 2020, as reflected in this report.

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IX. CERTIFICATION.

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

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

Signature: s/ **Michael P. Shea**

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