

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) Dees, Jr., Harry C.	2. Court or Organization UNITED STATES BANKRUPTCY COURT	3. Date of Report 04/29/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2020 to 12/31/2020
7. Chambers or Office Address ROBERT K. RODIBAUGH UNITED STATES BANKRUPTCY COURTHOUSE 401 SOUTH MICHIGAN STREET SOUTH BEND, INDIANA 46601		
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.		
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 15

Name of Person Reporting

Dees, Jr., Harry C.

Date of Report

04/29/2021

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1.		
2.		
3.		
4.		

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

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



NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Dees, Jr., Harry C.	04/29/2021

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 15

Name of Person Reporting

Dees, Jr., Harry C.

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04/29/2021

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Trust #1 Harry Dees Revocable Trust		None							
2. ABBOT LABS	A	Dividend	K	T					
3. ABBVIE INC	B	Dividend	K	T					
4. ALTRIA GROUP INC	A	Dividend	J	T					
5. APPLE INC	A	Dividend	K	T					
6. AT&T CORP	A	Dividend	J	T					
7. BARREN COUNTY BOARD OF EDUC 2.50 DUE 090127	B	Interest	L	T					
8. BATESVILLE IN SCH BLDG CORP 2.00 DUE 071526	A	Interest	L	T					
9. BAXTER INTL INC	A	Dividend	J	T					
10. CMS ENERGY CORP	A	Dividend	K	T					
11. CARRIER GLOBAL CORP (SPIN OFF OF UNITED TECHNOLOGIES)	A	Dividend	J	T					
12. CHEVRON CORP	A	Dividend	J	T					
13. CISCO SYSTEMS INC	A	Dividend	K	T					
14. CLARKSVILLE IN PARK DIST TAX 2.25 DUE 011127/23	B	Interest	L	T					
15. COMCAST CORP	A	Dividend	J	T	Sold (part)	09/15/20	J	C	
16. DOLLAR GENERAL CORP	A	Dividend	L	T					
17. DRIEHAUS EMERGING MKTS GROWTH INST	B	Dividend	L	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

Name of Person Reporting

Dees, Jr., Harry C.

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. DYER IN REDEVEL LEASE SINK 2.15 DUE 071522	B	Interest	L	T					
19. ECOLAB INC	A	Dividend	K	T					
20. ELKHART IN CMNTY SCHS BLDG 3.00 DUE 071523/23	B	Interest	L	T					
21. EXXON MOBIL CORP	B	Dividend	J	T	Buy	09/15/20	J		
22. FACEBOOK		None	J	T					
23. FIRST FINANCIAL DEPOSIT ACCOUNT	A	Interest	K	T					
24. FIRST FINANCIAL CORP	B	Dividend	L	T					
25. FLAT ROCK MI LTD TAX -CAP 3.00 DUE 100125/24	B	Interest	L	T					
26. GARY IN COMMUNITY SCHL CORP 2.00 DUE 071524	B	Interest	L	T					
27. GARY IN CMNTY SCHL CORP 3.30 DUE 071524/22	B	Interest	L	T					
28. GENERAL DYNAMICS CORP	A	Dividend	J	T					
29. GENERAL MILLS INC	A	Dividend	J	T					
30. GIBRALTAR SCHOOL DISTRIC MI 2.0 DUE 050122	A	Interest	L	T					
31. GOLDMAN SACHS SMALL CAP INSIGHTS INST	A	Dividend	K	T					
32. GREENE CNTY IN REDEV AUTH 3.00 DUE 020122	B	Interest	L	T					
33. HAMILTON CNTY IN REDEV AUT 3.55 DUE 080121/21	B	Interest	K	T					
34. HANOVER MULTI-SCHOOL BUILD 3.0 DUE 071524	B	Interest	L	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 15

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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)
35. INDIANA ST FIN AUTH HOSP REV 3.25 DUE 030126	B	Interest	L	T					
36. INDIANA HOUSING & COMM 2.95 DUE 070128	B	Interest	L	T					
37. INDIANA ST FIN - HANOVER CLG 3.00 DUE 050122	B	Interest	L	T					
38. INDIANA ST FIN AUTH REV 3.25 DUE 090124/22	B	Interest	L	T					
39. INDIANA ST FIN AUTH EITELJORG 3.00 DUE 020124	B	Interest	L	T					
40. INTEL CORP	A	Dividend	K	T					
41. INTERNATIONAL BUSINESS MACHINES	A	Dividend	J	T					
42. JANUS HENDERSON GLOBAL REAL ESTATE INST	A	Dividend	K	T					
43. JEFFERSONVILLE IN REDEV COMM 3.00 DUE 071523	B	Interest	L	T					
44. JEFFERSONVILLE IN REDEV COMM 2.375 DUE 071522/21	B	Interest	L	T					
45. JOHNSON & JOHNSON	A	Dividend	K	T					
46. KENTON CNTY KY SCH DIST 2.50 DUE 020122	A	Interest	K	T					
47. KENTUCKY ST INTERLOCAL SCH 2.00 DUE 030121/20	A	Interest	L	T					
48. KENTUCKY ST INTERLOCAL SCH 2.50 DUE 030125/20	B	Interest	L	T					
49. LAKE STATION 2008 BUILDING 3.00 DUE 071526	C	Interest	M	T					
50. LOGAN CNTY KY SCH DIST FIN 2.00 EU 090127/26	A	Interest	K	T					
51. LOWES COMPANY INC	A	Dividend	K	T	Sold (part)	09/15/20	K	C	

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. MCDONALDS CORP	A	Dividend	K	T					
53. MERCK & CO INC	A	Dividend	K	T					
54. METLIFE INC	A	Dividend	J	T					
55. MICROCHIP TECH INC	A	Dividend	K	T					
56. MICROSOFT CORP	B	Dividend	L	T	Sold (part)	09/15/20	K	E	
57. MSD OF SW ALLEN CNTY 2.0 DUE 071521	C	Interest	L	T					
58. N ESTRN IL UNIV COPS CAP IMP 3.00 DUE 070123	B	Interest	L	T					
59. NEXTERA ENERGY INC	A	Dividend	K	T					
60. NIKE INC CL B	A	Dividend	K	T	Sold (part)	09/15/20	J	B	
61. OTIS WORLDWIDE CORP (SPIN OFF OF UNITED TECHNOLOGIES)	A	Dividend	J	T					
62. OWEN CNTY IN PUBLIC LIBRARY 2.125 DUE 071523/22	B	Interest	L	T					
63. PHILLIP MORRIS INTL	A	Dividend	J	T					
64. PLAINFIELD IN REDEV AUTH 3.00 DUE 0801	B	Interest	K	T					
65. COUNTY OF PORTER IN 3.00 DUE 011530	C	Interest	L	T					
66. PRINCIPAL MID CAP GROWTH	A	Dividend	M	T					
67. PROCTOR & GAMBLE CO	A	Dividend	K	T					
68. RAYTHEON TECHNOLOGIES CORP	A	Dividend	J	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

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

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	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)
69. SAINT JOSEPH CNTY IN ECON 4.00 DUE 040123/20	A	Interest			Matured	04/01/20	K		
70. SIMON PPTY GROUP INC	A	Dividend	J	T					
71. SMUCKER J M CO	A	Dividend	K	T					
72. SOUTH BEND REDEVELOPMENT 2.5 DUE 050121	B	Interest	L	T					
73. SOUTH EAST IN SCH BLDG CORP 2.00 DUE 071525	B	Interest	M	T					
74. STARBUCKS CORP	B	Dividend	K	T					
75. STARKE CNTY IN BLDG CORP 3.0 DUE 080123/22	A	Interest	L	T					
76. TERRE HAUTE IN REDEV DIST 2.25 DUE 080121/20	B	Interest	K	T					
77. 3M	A	Dividend	K	T					
78. UNITED TECHNOLOGIES (MERGED WITH RAYTHEON TECHNOLOGIES)	A	Dividend			Merged (with line 68)	04/08/20	J		
79. VANGUARD DEV MKT INDX-ADM	B	Dividend	L	T					
80. VANGUARD FINANCIAL ETF	A	Dividend	K	T					
81. VANGUARD INDUSTRIALS ETF	A	Dividend	J	T					
82. VANGUARD TELECOMMUNICATIONS SERVICES ETF	A	Dividend	K	T					
83. VANGUARD INTM TRM TE - ADM	A	Dividend	L	T	Buy	09/11/20	L		
84. VANGUARD MID CAP INDEX-ADM	A	Dividend	K	T					
85. VANGUARD REIT ETF	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 15

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86. VANGUARD SM CAP INDX-ADM	A	Dividend	L	T					
87. VERIZON COMMUNICATIONS	A	Dividend	J	T					
88. WF STRAT MUNI BD FD INST	A	Dividend	L	T	Buy	09/11/20	L		
89. LINDE PLC	A	Dividend	J	T					
90. MEDTRONIC PLC	A	Dividend	K	T					
91. WARSAW IN SEWAGE WKS REV 2.00 DUE 070120	A	Interest			Matured	07/01/20	K		
92. TRUST #2 DOROTHY DEES TRUST		None							
93. ABBOTT LABS	A	Dividend	K	T					
94. ABBVIE INC	A	Dividend	K	T					
95. ALBERTVILLE AL BD OF EDUC 2.25 DUE 020124/22	B	Interest	K	T					
96. APPLE INC	A	Dividend	M	T	Sold (part)	09/15/20	J	D	
97. AT&T CORP	A	Dividend	K	T					
98. BLOOMFIELD CHARTER TWP 2.125 DUE 040122	A	Interest	K	T					
99. BP PLC	A	Dividend			Sold	09/15/20	J		
100. BRISTOL MYERS SQUIBB CO	A	Dividend	J	T					
101. CMS ENERGY CORP	A	Dividend	K	T					
102. CARRIER GLOBAL CORP (SPIN OFF OF UNITED TECHNOLOGIES)	A	Dividend	J	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
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103. CHEVRON CORP	A	Dividend	J	T					
104. COMCAST CORP	A	Dividend	J	T					
105. DANAHER CORP	A	Dividend	K	T	Sold (part)	09/15/20	J	D	
106. DUKE ENERGY	A	Dividend	J	T					
107. E JACKSON MI CMNTY SCHL 2.375 DUE 050122	B	Interest	L	T					
108. ECOLAB INC	A	Dividend	K	T					
109. EXXON MOBIL CORP	A	Dividend	J	T	Buy	09/15/20	J		
110. FIRST FINANCIAL CORP	A	Dividend	J	T					
111. FIRST FINANCIAL DEPOSIT ACCT	A	Interest	J	T					
112. GENERAL DYNAMICS CORP	A	Dividend	J	T					
113. GENERAL MILLS INC	A	Dividend	J	T					
114. GIBRALTAR SCHOOL DISTRICT/MI 2.0 DUE 050122	A	Interest	K	T					
115. GOLDMAN SACHS SM CAP INSIGHTS INST	B	Dividend	K	T					
116. GREENCASTLE IN SCH BLDG CORP 2.25 DUE 071521/20	A	Interest	K	T					
117. GREENE CNTY IN REDEV AUTH 3.00 DUE 020122	B	Interest	L	T					
118. HAMILTON CNTY IN REDEV AUTH 3.55 DUE 080121/21	B	Interest	L	T					
119. HANCOCK CNTY KY SCH DIST FIN 2.00 DUE	A	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 15

Name of Person Reporting

Dees, Jr., Harry C.

Date of Report

04/29/2021

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 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)
120. HANOVER MULTI-SCHOOL BUILD 2.5 DUE 071523/23	B	Dividend	L	T					
121. INTEL CORP	A	Dividend	K	T					
122. INVESCO OPPENHEIMER SENIOR FLATING RATE FUND		None			Sold	03/16/20	L	D	
123. IVY TECH IN CMNTY CLG 2.50 DUE 070123	A	Interest	L	T	Buy	03/23/20	L		
124. JANUS HNDRSN GLBL RL EST FD INST	A	Dividend	K	T					
125. JEFFERSONVILLE IN REDEV COMM 2.375 DUE 071522/21	A	Interest	K	T					
126. JOHNSON & JOHNSON	A	Dividend	K	T					
127. LOWES COMPANIES INC.	A	Dividend	K	T					
128. MARATHON PETROLUEM	A	Dividend	J	T					
129. METLIFE INC	A	Dividend	K	T					
130. MICROSOFT CORP	A	Dividend	K	T					
131. NIKE INC CL B	A	Dividend	K	T	Sold (part)	09/15/20	J	D	
132. OTIS WORLDWIDE CORP (SPIN OFF OF UNITED TECHNOLOGIES)	A	Dividend	J	T					
133. PEPSICO INC	A	Dividend	J	T					
134. PFIZER INC	A	Dividend	J	T					
135. PIKE CNTY KY SCH DIST FIN 2.00 DUE 100123	A	Interest	K	T					
136. PIONEER SCH BLDG CORP IN 2.25 DUE 071524	B	Interest	L	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

Dees, Jr., Harry C.

Date of Report

04/29/2021

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 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)
137. PLAINTFIELD IN REDEV AUTH 3.00 DUE 080126/23	A	Interest	K	T					
138. PROCTOR & GAMBLE CO	A	Interest	K	T					
139. RAYTHEON TECHNOLOGIES CORP (FORMERLY UNITED TECH CORP)	A	Dividend	J	T					
140. SAINT JOHN IN SEWAGE WKS REV 1.90 DUE 010120	A	Interest			Matured	01/02/20	K		
141. ST UNIV OF IOWA REVENUE 2.00 DUE 070121	A	Interest	K	T					
142. STUCKER FORK IN CONS DIST WT 1.75 DUE 010120	A	Interest			Matured	01/02/20	K		
143. UNITED TECHNOLOGIES CORP (MERGED WITH RAYTHEON TECH CORP)	A	Dividend			Merged (with line 141)	04/08/20	J		
144. VANGUARD SMALL CAP VALUE INDEX - ADM	B	Dividend			Sold	09/14/20	L	C	
145. VANGUARD DEV MKT INDEX - ADM	C	Dividend	M	T					
146. VANGUARD EMERG MKT STK INDEX - ADM	B	Dividend	L	T					
147. VANGUARD INTM TERM T/E - ADM	A	Dividend	L	T	Buy	09/16/20	L		
148. VANGUARD FINANCIAL ETF	A	Dividend	K	T					
149. VANGUARD HEALTH CARE ETF	A	Dividend	K	T					
150. VANGUARD TELECOMMUNICATION SERVICES ETF	A	Dividend	K	T					
151. VANGUARD MID CAP INDEX - ADM	C	Dividend	M	T					
152. VANGUARD SMALL CAP VALUE INDEX - ADM	A	Dividend	M	T	Buy	09/14/20	L		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
153. VANGUARD REIT ETF	A	Dividend	J	T					
154. VIATRIS INC (SPIN OFF OF PFIZER)		None	J	T	Spinoff (from line 136)	11/23/20	J		
155. WF STRAT MUNI BND FD INST	A	Dividend	K	T	Buy	09/16/20	K		
156. ZIONSVILLE CMNTY SCHL BLDG 4.00 DUE 010120	A	Interest			Matured	01/10/20	K		
157. FIRST FINANCIAL BANK MONEY MARKET FUND	A	Interest	K	T					
158. FIRST FINANCIAL CORP. TERRE HAUTE, IN	A	Dividend	J	T					
159. USAA FEDERAL SAVINGS BANK	B	Int./Div.	M	T					
160. USAA CORNERSTONE STRATEGY MUTUAL FUND	A	Int./Div.	K	T					
161. USAA WORLD GROWTH MUTUAL FUND	A	Int./Div.	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting	Date of Report
Dees, Jr., Harry C.	04/29/2021

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Dees, Jr., Harry C.

Date of Report

04/29/2021

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/ **Harry C. Dees, Jr.**

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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One Columbus Circle, N.E.
Washington, D.C. 20544