

# 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)<br><br>Hoffman, Jr., John E.                                                                                                                           | 2. Court or Organization<br><br>U.S. Bankruptcy Court, Southern District of Ohio                                                                                                                                                | 3. Date of Report<br><br>08/10/2021                       |
| 4. Title (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>U.S. Bankruptcy Judge                                                                 | 5a. Report Type (check appropriate type)<br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | 6. Reporting Period<br><br>01/01/2020<br>to<br>12/31/2020 |
|                                                                                                                                                                                                               | 5b. <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                           |
| 7. Chambers or Office Address<br><br>United States Bankruptcy Court<br>170 N. High St.<br>Columbus, OH 43215                                                                                                  |                                                                                                                                                                                                                                 |                                                           |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts,<br/>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. Adjunct Professor | The Ohio State University Moritz College of Law |
| 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. |  |

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Name of Person Reporting

Hoffman, Jr., John E.

Date of Report

08/10/2021

## 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><small>(yours, not spouse's)</small> |
|-------------|-------------------------------------------------------------------|-------------------------------------------------------|
| 1. 2020     | The Ohio State University Moritz College of Law (teaching salary) | \$12,000.00                                           |
| 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     | Children's Hospital Close to Home, Westerville |
| 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.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Hoffman, Jr., John E.    | 08/10/2021     |

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

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Name of Person Reporting

Hoffman, Jr., John E.

Date of Report

08/10/2021

## 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. Individual Assets (H)                                                                                                   |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 2. Huntington Bank (cash)                                                                                                  | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. National Financial Services Bank Deposit<br>Sweep Program (cash) (Y)                                                    |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 4. Account #1 (H)                                                                                                          |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 5. Bank of America Cash Deposit (cash) (Y)                                                                                 |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 6. iShares IBOXX Invst Grade Corp Bd (LQD)                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 01/14/20         | J                        |                         |                                                            |
| 7. Shares 20+ Year (TLT)                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 01/14/20         | J                        |                         |                                                            |
| 8. iShares Tips Bond ETF (TIP)                                                                                             | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/14/20         | J                        | A                       |                                                            |
| 9. iShares 3-7 Year Treasury Bond ETF (IEI)                                                                                | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/14/20         | J                        | A                       |                                                            |
| 10. iShares MBS ETF (MBB)                                                                                                  | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 01/14/20         | J                        |                         |                                                            |
| 11.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/12/20         | J                        | A                       |                                                            |
| 12.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/12/20         | J                        |                         |                                                            |
| 13. iShares IBOXX High Yield Corp X Bond<br>(HYG)                                                                          | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/14/20         | J                        |                         |                                                            |
| 14. iShares Inc Core MSCI Emerging Mkts ETF<br>(IEMG)                                                                      | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 01/14/20         | J                        |                         |                                                            |
| 15.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/20/20         | J                        |                         |                                                            |
| 16.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/14/20         | J                        | A                       |                                                            |
| 17. iShares Tr Core MSCI EAF ETF (IEFA)                                                                                    | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 01/14/20         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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

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Name of Person Reporting

Hoffman, Jr., John E.

Date of Report

08/10/2021

## 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.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/20/20         | J                        |                         |                                                            |
| 19.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/12/20         | J                        |                         |                                                            |
| 20. SPDR Bloomberg Barclays ETF (BIL)                                                                                      | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/12/20         | J                        |                         |                                                            |
| 21.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/13/20         | J                        |                         |                                                            |
| 22. Vanguard Small Cap Value ETF (VBR)                                                                                     | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/14/20         | J                        | A                       |                                                            |
| 23. Vanguard Small Cap Growth ETF (VBK)                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/14/20         | J                        | A                       |                                                            |
| 24. Vanguard Value ETF (VTV)                                                                                               | B                                      | Dividend                               | L                                              | T                                  | Sold<br>(part)                            | 01/14/20         | J                        | A                       |                                                            |
| 25.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/20/20         | J                        |                         |                                                            |
| 26.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/12/20         | J                        |                         |                                                            |
| 27. Vanguard Growth ETF (VUG)                                                                                              | A                                      | Dividend                               | L                                              | T                                  | Buy<br>(add'l)                            | 01/14/20         | J                        |                         |                                                            |
| 28.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/14/20         | J                        |                         |                                                            |
| 29.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/12/20         | J                        | C                       |                                                            |
| 30. Vanguard Intermediate Term Bond ETF (BIV) (Y)                                                                          |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 31. Vanguard Short Term Corp Bond (VCSH)                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/14/20         | J                        | A                       |                                                            |
| 32. Vanguard Intermediate Term Corp Bond (VCIT)                                                                            | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 01/14/20         | J                        |                         |                                                            |
| 33.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/14/20         | J                        |                         |                                                            |
| 34. Account #2 (H)                                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
| 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 | 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 | 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 | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | Q =Appraisal<br>U =Book Value                                                                                                       | R =Cost (Real Estate Only)<br>V =Other                                                                     | S =Assessment<br>W =Estimated                                                                                                                   | T =Cash Market                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

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) |
| 35. Vanguard Inst Target Retirement 2025 Inst                                                                              | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 10/02/20                | J                               |                                |                                                                   |
| 36.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 11/02/20                | J                               |                                |                                                                   |
| 37.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 12/02/20                | J                               |                                |                                                                   |
| 38. Accoubt #3 (H)                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 39. Vanguard Inst Target Retirement 2025 Inst                                                                              | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. Account #4 (H)                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 41. DWS Global Opportunities (Y)                                                                                           |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 42. DWS Croci US VIP (X)                                                                                                   |                                        | None                                          | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. DWS Global Equity VIP                                                                                                  |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. DWS Equity 500 Index                                                                                                   |                                        | None                                          | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 45. DWS Large Cap Value (Y)                                                                                                |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 46. DWS Capital Growth                                                                                                     |                                        | None                                          | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. DWS Global Small-Cap VIP (X)                                                                                           |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. Account #5 (H)                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 49. Merrill Lynch Bank Deposit Program (cash)                                                                              | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. ISH USD High Yield (USHY)                                                                                              | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 01/15/20                | J                               |                                |                                                                   |
| 51. iShares Core S&P Small Cap ETF (IJR)                                                                                   | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/15/20                | J                               | A                              |                                                                   |

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.)

☐ 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) |
| 52.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 01/24/20         | J                        | A                       |                                                            |
| 53.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/19/20         | J                        |                         |                                                            |
| 54. iShares National Muni Bond ETF (MUB)                                                                                   | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/15/20         | J                        | A                       |                                                            |
| 55.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 01/24/20         | J                        | A                       |                                                            |
| 56.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/13/20         | J                        |                         |                                                            |
| 57.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/13/20         | J                        |                         |                                                            |
| 58. iShares Core S&P U.S. Growth ETF (IUSG)                                                                                | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 01/15/20         | J                        |                         |                                                            |
| 59.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 01/24/20         | J                        | A                       |                                                            |
| 60.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/16/20         | J                        |                         |                                                            |
| 61.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/13/20         | J                        | B                       |                                                            |
| 62. iShares Core S&P U.S. Value ETF (IUSV)                                                                                 | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/15/20         | J                        | A                       |                                                            |
| 63.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 01/24/20         | J                        | A                       |                                                            |
| 64.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/19/20         | J                        |                         |                                                            |
| 65. SPDR Bloomberg Barclays (BIL)                                                                                          | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/12/20         | J                        |                         |                                                            |
| 66.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/17/20         | J                        |                         |                                                            |
| 67.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/13/20         | J                        |                         |                                                            |
| 68. Vaneck Vectors High Yield Municipal Index<br>ETF (HYD)                                                                 | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/15/20         | J                        | A                       |                                                            |

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.)

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. Vanguard FTSE Emerging Markets ETF (VWO)                                                                               | A                                      | Dividend                               | J                                              | T                                  | Buy (add'l)                               | 01/15/20         | J                        |                         |                                                            |
| 70.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 01/24/20         | J                        | A                       |                                                            |
| 71.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 04/16/20         | J                        |                         |                                                            |
| 72. Vanguard FTSE Developed Markets ETF (VEA)                                                                              | A                                      | Dividend                               | K                                              | T                                  | Buy (add'l)                               | 01/15/20         | J                        |                         |                                                            |
| 73.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 01/24/20         | J                        | A                       |                                                            |
| 74.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 03/19/20         | J                        |                         |                                                            |
| 75.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 08/13/20         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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**

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**Name of Person Reporting****Hoffman, Jr., John E.****Date of Report**

08/10/2021

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Hoffman, Jr., John E.

Date of Report

08/10/2021

## 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/ John E. Hoffman, 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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