

**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) Lindsay, Colin	2. Court or Organization	3. Date of Report 05/24/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	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		
IMPORTANT NOTES: <i>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>		

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.	

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Name of Person Reporting

Lindsay, Colin

Date of Report

05/06/2021

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
Lindsay, Colin	05/06/2021

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

☒ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

Lindsay, Colin

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. 529 # 1 H									
2. Alliance Bernstein CollegeBound fund 529		None	J	T	Distributed (part)	04/15/20	J		
3.					Distributed (part)	07/13/20	J		
4.					Distributed	12/22/20	J		
5.					Closed	12/23/20			
6. IRA # 1 H									
7. American Funds Capital	C	Dividend	L	T	Sold (part)	01/24/20	J	D	
8.					Buy (add'l)	04/24/20	J		
9.					Buy (add'l)	07/24/20	J		
10. American Funds Growth Fund of America	B	Dividend	K	T	Sold (part)	04/24/20	J	B	
11.					Sold (part)	07/24/20	J	B	
12. American Funds New World	A	Dividend	K	T	Buy (add'l)	04/24/20	J		
13.					Sold (part)	07/24/20	J	C	
14. AQR Managed Futures Strategy	A	Dividend	J	T	Buy (add'l)	01/24/20	J		
15.					Sold (part)	04/24/20	J	B	
16.					Buy (add'l)	07/24/20	J		
17. Calvert Global Energy		None			Sold	01/24/20	J	D	

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)
18. Delaware Diversified Income	A	Dividend	K	T	Buy (add'l)	01/24/20	J		
19.					Sold (part)	04/24/20	J	B	
20.					Buy (add'l)	07/24/20	J		
21. Diamond Hill Long Short Fund	A	Dividend	J	T	Buy (add'l)	01/24/20	J		
22.					Buy (add'l)	04/24/20	J		
23. Eaton Vance Floating Rate	A	Dividend	J	T	Sold (part)	01/24/20	J	A	
24.					Sold (part)	04/24/20	J	A	
25.					Buy (add'l)	07/24/20	J		
26. Fidelity ADV Materials					Sold	01/24/20	K	E	
27. Fidelity MSCI Health	A	Dividend	K	T	Sold (part)	01/24/20	J	B	
28.					Sold (part)	04/15/20	J	A	
29.					Sold (part)	04/24/20	J	B	
30.					Buy (add'l)	07/24/20	J		
31. Fidelity MSCI Materials	A	Dividend	K	T	Buy (add'l)	01/24/20	K		
32.					Buy (add'l)	04/24/20	J		
33.					Sold (part)	07/24/20	J	B	
34. First Eagle Overseas	A	Dividend	K	T	Buy (add'l)	01/24/20	J		

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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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)
35. Invesco Developing Markets	A	Dividend	L	T	Sold (part)	07/24/20	J	C	
36. IShares Convertible Bond	A	Dividend	K	T	Sold (part)	01/24/20	J	A	
37.					Sold (part)	04/24/20	J	A	
38.					Sold (part)	07/24/20	J	B	
39. IShares Core Growth	A	Dividend	L	T	Buy (add'l)	01/24/20	K		
40.					Sold (part)	04/24/20	J	A	
41.					Buy (add'l)	07/24/20	J		
42. IShares Global Clean Energy	A	Dividend	K	T	Buy (add'l)	01/24/20	J		
43.					Buy (add'l)	04/24/20	J		
44.					Sold (part)	07/24/20	J	C	
45. IShares Global REIT	A	Dividend	K	T	Buy (add'l)	01/24/20	J		
46.					Buy (add'l)	04/24/20	J		
47.					Buy (add'l)	07/24/20	J		
48. IShares Total USD Bond	A	Dividend	K	T	Sold (part)	01/24/20	J	D	
49.					Sold (part)	03/27/20	J	A	
50.					Sold (part)	04/24/20	J	B	
51. Pimco Commodity Real RET	A	Dividend	K	T	Buy (add'l)	01/24/20	J		

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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Name of Person Reporting

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05/06/2021

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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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52.					Sold (part)	04/24/20	J	A	
53. Royce Opportunity Fund			L	T	Buy (add'l)	04/24/20	J		
54.					Sold (part)	07/24/20	J	C	
55. Segall Bryant & Hamill	A	Dividend	K	T	Buy (add'l)	01/24/20	J		
56.					Buy (add'l)	07/24/20	J		
57. Templeton Global Bond	B	Dividend	K	T	Buy (add'l)	01/24/20	J		
58.					Sold (part)	04/24/20	J	C	
59.					Buy (add'l)	07/24/20	J		
60. Vanguard Developed Markets	A				Sold	01/24/20	K	E	
61. Vanguard FTSE Developed	A	Dividend	K	T	Buy	01/24/20	K		
62. Vanguard Inflation-Prote	A	Dividend	J	T	Buy (add'l)	01/24/20	J		
63.					Buy (add'l)	04/24/20	J		
64.					Buy (add'l)	07/24/20	J		
65. Vanguard Mid Cap	A	Dividend	L	T	Buy (add'l)	04/24/20	J		
66. Wasatch Small Cap Growth	B	Dividend	K	T	Buy (add'l)	01/24/20	J		
67.					Buy (add'l)	04/24/20	J		
68. IRA # 2 H					Sold (part)	07/24/20	J	A	

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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☐ 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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69. American Funds Capital Income	A	Dividend	J	T	Sold (part)	01/24/20	J	A	
70.					Buy (add'l)	07/24/20			
71.					Buy (add'l)	10/26/20			
72. American Funds Growth	A	Dividend	J	T	Sold (part)	10/26/20	J	A	
73. American Funds New World	A	Dividend	J	T	Sold (part)	07/24/20	J	A	
74. AQR Managed Futures Strategy	A	Dividend	J	T	Buy (add'l)	01/24/20			
75.					Sold (part)	04/24/20	J	A	
76.					Buy (add'l)	07/24/20			
77.					Buy (add'l)	10/26/20			
78. Calvert Global Energy					Sold	01/24/20	J	B	
79. Diamond Hill Long-Short	A	Dividend	J	T	Buy (add'l)	01/24/20			
80.					Buy (add'l)	07/24/20			
81.					Sold (part)	10/26/20	J	A	
82. Fidelity ADV Materials					Sold	01/24/20	J	B	
83. Fidelity MSCI Health	A	Dividend	J	T	Sold (part)	01/24/20	J	A	
84.					Sold (part)	04/15/20	J	A	
85.					Sold (part)	04/24/20	J	A	

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	
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86.					Buy (add'l)	07/26/20			
87.					Buy (add'l)	10/26/20			
88. Fidelity MSCI Materials	A	Dividend	J	T	Buy (add'l)	01/24/20			
89. First Eagles Overseas	A	Dividend	J	T	Buy (add'l)	01/24/20			
90.					Sold (part)	04/24/20	J	A	
91.					Buy (add'l)	07/24/20			
92.					Buy (add'l)	10/26/20			
93. Invesco Developing Markets	A	Dividend	J	T					
94. iShares Convertible Bond	A	Dividend	J	T	Sold (part)	01/24/20	J	A	
95.					Sold (part)	04/24/20	J	A	
96.					Sold (part)	10/26/20	J	A	
97. iShares Core Growth	A	Dividend	J	T	Buy (add'l)	01/24/20			
98.					Sold (part)	04/24/20	J	A	
99.					Buy (add'l)	07/24/20			
100.					Buy (add'l)	10/26/20			
101. iShares Global Clean Energy	A	Dividend	J	T	Buy (add'l)	01/24/20			
102.					Sold (part)	07/24/20	J	A	

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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	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)
103.					Sold (part)	10/26/20	J	A	
104. iShares Global REIT	A	Dividend	J	T	Buy (add'l)	01/24/20			
105.					Buy (add'l)	04/24/20			
106. iShares Total USD Bond	A	Dividend	J	T	Sold (part)	01/24/20	J	A	
107.					Sold (part)	03/27/20	J	A	
108.					Sold (part)	04/24/20	J	A	
109.					Buy (add'l)	10/26/20			
110. Pimco Commodity Real RET	A	Dividend	J	T	Buy (add'l)	01/24/20			
111.					Buy (add'l)	04/24/20			
112. Royce Opportunity Invmt			J	T	Buy (add'l)	04/24/20			
113.					Sold (part)	07/24/20	J	A	
114.					Sold (part)	10/26/20	J	A	
115. Templeton Global Bond	A	Dividend	J	T	Sold (part)	04/24/20	J	A	
116.					Buy (add'l)	07/24/20			
117.					Buy (add'l)	10/26/20			
118. Vanguard Developed Markets					Sold	01/24/20	J	C	
119. Vanguard FTSE Developed Markets	A	Dividend	J	T	Buy (add'l)	01/24/20			

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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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)
120. Vanguard Mid Cap	A	Dividend	J	T	Buy (add'l)	04/24/20			
121. Wasatch Small Cap Growth	A	Dividend	J	T	Buy (add'l)	01/24/20			
122.					Sold (part)	07/24/20	J	A	
123.					Sold (part)	10/26/20	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

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Name of Person Reporting

Lindsay, Colin

Date of Report

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

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Name of Person Reporting

Lindsay, Colin

Date of Report

05/06/2021

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/ Colin Lindsay**

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