

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) Bennett, Mark J.	2. Court or Organization U.S. Court of Appeals, Ninth Circuit	3. Date of Report 08/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	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 Prince Kuhio Federal Building 300 Ala Moana Blvd. Honolulu HI 96850		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Director	American Judicature Society
2. Member/Owner	Beecher Hill Properties, LLC (reportable assets are included in Part VII)
3. Trustee	Trust #1 (no reportable holdings)
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2008	State of Hawaii (defined benefit pension plan)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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> (yours, not spouse's)
1. 2020	State of Hawaii (pension)	\$21,647.00
2. 2020	University of Hawaii (teaching income)	\$3,184.00
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	State of Hawaii (salary)
2.	
3.	
4.	

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

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

☐

NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. George Mason Antonin Scalia School of Law	2/1/20 - 2/9/20	Key West, FL	Seminar	Transportation, Meals, Hotel
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Bennett, Mark J.	08/12/2021

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.		

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. Indiivdual Assets (H)									
2. Ally Bank (cash)	D	Interest	O	T					
3. Hawaii State Credit Union (cash)		None	J	T					
4. United States Series I Savings Bonds	C	Interest	M	T					
5. Precious metals (gold, silver, and platinum, bullion, and coins)		None	N	W					
6. Barclay's Bank (cash)	B	Interest	M	T					
7. Marcus Goldman Sachs Bank (cash) (X)	B	Interest	M	T					
8. Jackson National Life Insurance Fixed Annuity (X)		None	M	T					
9. WCP Special Core Plus Fund II, LP (X)	D	Distribution	L	T					
10. WCP Real Estate Fund III, LP	A	Distribution	K	T					
11. WCP Real Estate Fund IV, LP	D	Distribution	M	T					
12. Private Mortgage, Binghamton, NY #2	D	Interest	L	T					
13. Private Mortgage, Binghamton, NY #3 (X)	A	Interest	J	T					
14. Rental Property #1, Honolulu, Hawaii	E	Rent	N	W					
15. Rental Property #2, Honolulu, Hawaii		None	O	W					
16. Rental Property #3, Honolulu, Hawaii	D	Rent	M	W					
17. Rental Property #4, Honolulu, Hawaii	E	Rent	O	W					

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 5 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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) 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. Rental Property #5, Honolulu, Hawaii	E	Rent	O	W					
19. Rental Property #6, Owego, New York	E	Rent	M	W					
20. Skybridge Opp Zone Real Estate Inv Trust		None	L	T					
21. Acccount #1 (H)									
22. Strategic Advisers Large Cap (FALCX)	A	Dividend	L	T					
23. Strategic Advisers Core Fund (FCSAX) (Y)									
24. Strategic Advisers Growth Fund (FSGFX) (Y)									
25. Strategic Advisers Emerging Markets (FSAMX)	A	Dividend	J	T	Buy (add'l)	05/29/20	J		
26. Strategic Advisers Small-Mid Cap Fd (FSCFX)	A	Dividend	J	T					
27. Strategic Advisers International Fund (FILFX)	A	Dividend	K	T	Buy (add'l)	07/01/20	J		
28.					Buy (add'l)	06/30/20	J		
29. Fidelity SAI U.S. Large Cap Index (FLCPX) (Y)									
30. Fidelity SAI International Index (FIONX) (Y)									
31. Fidelity SAI Emerg Markets Index (FERGX) (Y)									
32. AQR Managed Futures Fund Class N (AQMNX) (Y)									
33. Strategic Advisers Short Duration Fund (FAUDX)	A	Dividend	J	T	Sold (part)	08/19/20	J	A	
34.					Sold (part)	09/14/20	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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) 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. Strategic Advisers Income Opportunities (FPIOX)	A	Dividend	J	T	Buy (add'l)	08/19/20	J		
36. Strategic Advisers Core Income Fund (FPCIX)	C	Dividend	L	T	Buy (add'l)	01/22/20	J		
37.					Sold (part)	03/09/20	J	A	
38.					Sold (part)	05/29/20	J	A	
39.					Sold (part)	06/30/20	J	A	
40.					Buy (add'l)	08/19/20	J		
41.					Sold (part)	09/14/20	J	A	
42.					Buy (add'l)	12/16/20	J		
43. Eaton Vance GL Macro Absolute (EGRIX)	A	Dividend	J	T					
44. Pimco Commodity Real Return Inst (PCRIX)		None			Sold	05/28/20	J		
45. FIMM Government Portfolio: Instl CL (FRGXX)	A	Dividend			Buy (add'l)	05/29/20	J		
46.					Sold (part)	06/30/20	J		
47.					Sold	07/31/20	J		
48. Cohen & Steers Realty Shares (CSRSX)	A	Dividend	J	T	Buy	07/01/20	J		
49. Account #2 (H)									
50. Thompson Bond Fund (THOPX)	C	Dividend	L	T					
51. Bank Amer Corp Mtn (06051GGC7)	B	Interest	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 7 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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) 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)
52. Morgan Stanley Mtn (61760LBZ7)	B	Interest	K	T					
53. Account #3 (H)									
54. Fidelity Government Cash Reserves (FDRXX) (X)	A	Interest	J	T					
55. Strategic Advisers Large Cap (FALCX)	A	Dividend	M	T	Sold (part)	01/22/20	J	B	
56.					Buy (add'l)	03/09/20	J		
57.					Sold (part)	08/19/20	J	A	
58.					Sold (part)	12/16/20	J		
59. Strategic Advisers Core Fund (FCSAX)	C	Dividend			Buy (add'l)	03/09/20	J		
60.					Buy (add'l)	05/29/20	J		
61.					Buy (add'l)	06/30/20	J		
62.					Buy (add'l)	07/02/20	J		
63.					Sold (part)	05/19/20	J	A	
64.					Buy (add'l)	09/14/20	J		
65.					Sold	10/26/20	J	A	
66. Strategic Advisers Growth Fund (FSGFX)	C	Dividend			Sold (part)	01/22/20	J	A	
67.					Sold (part)	05/29/20	J	A	
68.					Sold (part)	06/30/20	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	
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 8 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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) 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)
69.					Sold	08/19/20	J	B	
70. Strategic Advisers Emerging Markets (FSAMX)	A	Dividend	K	T	Sold (part)	03/09/20	J	A	
71.					Buy (add'l)	05/29/20	J		
72.					Buy (add'l)	06/30/20	J		
73.					Buy (add'l)	10/26/20	J		
74. Strategic Advisers Small-Mid Cap Fd (FSCFX)	A	Dividend	K	T	Sold (part)	01/22/20	J	A	
75.					Buy (add'l)	03/09/20	J		
76.					Buy (add'l)	05/29/20	J		
77.					Sold (part)	06/08/20	J	A	
78.					Sold (part)	10/26/20	J	A	
79. Strategic Advisers International Fund (FILFX)	B	Dividend	L	T	Buy (add'l)	03/09/20	J		
80.					Buy (add'l)	05/29/20	J		
81.					Sold (part)	06/08/20	J		
82.					Buy (add'l)	06/30/20	J		
83.					Buy (add'l)	10/26/20	J		
84. Fidelity SAI U.S. Large Cap Index (FLCPX)	A	Dividend			Sold (part)	01/22/20	J	A	
85.					Sold	05/29/20	J	B	

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 9 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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) 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)
86. Fidelity SAI International Index (FIONX)	A	Dividend			Sold (part)	05/29/20	J		
87.					Sold (part)	06/30/20	J	A	
88.					Sold	07/01/20	J	A	
89. Fidelity SAI Emerg Markets Index (FERGX)	A	Dividend			Buy (add'l)	01/22/20	J		
90.					Sold (part)	05/29/20	J		
91.					Sold (part)	06/30/20	J	A	
92.					Sold	07/01/20	J	A	
93. AQR Managed Futures Fund Class N (AQMNX)	A	Dividend	J	T	Sold (part)	11/24/20	J		
94.					Sold (part)	12/16/20	J		
95. Cohen & Steers Realty Shares (CSRSX)	A	Dividend	J	T	Buy	06/08/20	J		
96.					Buy (add'l)	06/30/20	J		
97.					Buy (add'l)	07/31/20	J		
98. Strategic Advisers Short Duration Fund (FAUDX)	A	Dividend	K	T	Buy (add'l)	01/22/20	J		
99.					Sold (part)	03/09/20	J	A	
100.					Buy (add'l)	05/29/20	J		
101.					Sold (part)	08/19/20	J	A	
102. Strategic Advisers Income Opportunities (FPIOX)	A	Dividend	K	T	Buy (add'l)	05/29/20	J		

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)
103.					Buy (add'l)	06/30/20	J		
104.					Sold (part)	08/19/20	J		
105.					Buy (add'l)	09/14/20	J		
106.					Buy (add'l)	10/26/20	J		
107.					Buy (add'l)	11/24/20	J		
108. Strategic Advisers Core Income Fund (FPCIX)	D	Dividend	M	T	Buy (add'l)	01/22/20	J		
109.					Sold (part)	03/09/20	J		
110.					Sold (part)	05/29/20	J	A	
111.					Buy (add'l)	06/08/20	J		
112.					Sold (part)	06/30/20	J	A	
113.					Buy (add'l)	08/19/20	J		
114.					Sold (part)	09/14/20	J	A	
115.					Buy (add'l)	10/26/20	J		
116. Eaton Vance GL Macro Absolute Rtrn Advt A (EGRAX)	A	Dividend	J	T					
117. Pimco Commodity Real Return Inst (PCRIX)	A	Dividend			Sold	05/28/20	J		
118. FIMM Government Portfolio: Instl CL (FRGXX)	A	Dividend			Buy (add'l)	05/29/20	J		
119.					Sold (part)	06/30/20	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

FINANCIAL DISCLOSURE REPORT

Page 11 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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.					Sold	07/31/20	J		
121. Account #4 (H)									
122. FDIC Insured Deposit At Wells Fargo IRA	A	Interest	J	T					
123. Touchstone Credit Oppor II Fd Cl A (TMARX)	A	Dividend	J	T					
124. Fidelity Total Bond (FTBFX)	B	Dividend	L	T					
125. American Century One Choice Inretir Inv (ARTOX)	E	Dividend	M	T					
126. Pimco Low Duration Class A (PTLAX)	A	Dividend	K	T					
127. T Rowe Price Glbl Multi Sector Bond Fd (PRSNX)	B	Dividend	L	T					
128. Amerian Finl Group Inc Ohio Note (025932AK0)	A	Interest	K	T					
129. Goldman Sachs Group Inc Note (38141GWB6)	B	Interest	L	T					
130. Ebay Inc Note Call Make Whole (278642AU7)	B	Interest	L	T					
131. Bank Amer Corp Mtn (06051GGC7)	B	Interest	L	T					
132. JPMorgan Chase & Co Note (46625HRX0)	B	Interest	L	T					
133. AXA Equitable Hldgs Inc Note (054561AJ4)	B	Interest	K	T					
134. Dowdupont Inc Note Call Make Whole (26078JAD2)	B	Interest	K	T					
135. Goldman Sachs BK USA CD 1.7% (38149MMT7)		None	J	T	Buy	01/08/20	J		
136. Account #5 (H)									

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 12 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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. Strategic Advisers Large Cap (FALCX)	A	Dividend	K	T					
138. Strategic Advisers Core Fund (FCSAX) (Y)									
139. Strategic Advisers Growth Fund (FSGFX) (Y)									
140. Strategic Advisers Emerging Markets (FSAMX)	A	Dividend	J	T					
141. Strategic Advisers Small-Mid Cap Fd (FSCFX)	A	Dividend	J	T					
142. Strategic Advisers International Fund (FILFX)	A	Dividend	J	T					
143. Cohen & Steers Realty Shares (CSRSX) (X)	A	Dividend	J	T					
144. Fidelity SAI U.S. Large Cap Index (FLCPX) (Y)									
145. Strategic Advisers Short Duration Fund (FAUDX) (Y)									
146. Strategic Advisers Core Income Fund (FPCIX)	A	Dividend	K	T	Sold (part)	03/06/20	J	A	
147.					Sold (part)	04/01/20	J		
148.					Sold (part)	04/27/20	J	A	
149. Strategic Advisers Income Opportunities (FPIOX) (X)	A	Dividend	K	T					
150. Account #6 (H)									
151. Thompson Bond Fund (THOPX)	A	Dividend	K	T					
152. Account #7 (H)									
153. Prudential Stable Value Fund		None	M	T	Buy (add'l)	04/27/20	K		

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)
154.					Buy (add'l)	06/08/20	K		
155. Black Rock TRB Fund (MAHQX)		None	K	T					
156. Black Rock US Large Cap Fund (BRGNX)		None	L	T	Sold (part)	04/27/20	K		
157.					Sold (part)	06/08/20	K		
158. Account #8 (H)									
159. Prudential Stable Value Fund		None	N	T	Buy (add'l)	01/03/20	J		
160.					Buy (add'l)	01/17/20	J		
161.					Buy (add'l)	02/20/20	J		
162.					Buy (add'l)	03/05/20	J		
163.					Buy (add'l)	03/20/20	J		
164.					Buy (add'l)	04/06/20	J		
165.					Buy (add'l)	04/20/20	J		
166.					Buy (add'l)	04/27/20	K		
167.					Buy (add'l)	05/05/20	J		
168.					Buy (add'l)	05/20/20	J		
169.					Buy (add'l)	06/05/20	J		
170.					Buy (add'l)	06/08/20	K		

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		

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)
171.					Buy (add'l)	06/19/20	J		
172.					Buy (add'l)	07/06/20	J		
173.					Buy (add'l)	07/20/20	J		
174.					Buy (add'l)	08/05/20	J		
175.					Buy (add'l)	08/20/20	J		
176. Black Rock TRB Fund (MAHQX)		None	K	T					
177. Black Rock US Large Cap Fund (BRGNX)		None	N	T	Sold (part)	04/27/20	K		
178.					Sold (part)	06/08/20	K		
179. Account #9 (H)									
180. Fidelity Advisor Growth Oppty Cl I (FAGCX)	C	Dividend	L	T					
181. Fidelity 500 Index Fund (FXAIX)	A	Dividend	L	T					
182. Fidelity Low Priced Stock (FLPSX)	B	Dividend	K	T					
183. Account #10 (H)									
184. Fidelity Government Cash Reserves (FDRXX)	A	Dividend			Sold	05/14/20	L		
185. Fidelity Intl Cap Appreciation Fund (FIVFX)	A	Dividend	K	T					
186. Fidelity Emerging Markets (FEMKX) (X)	A	Dividend	J	T					
187. Fidelity Growth Company (FDGRX)	A	Dividend	J	T	Buy (add'l)	01/08/20	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.)

☐

 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)
188.					Sold (part)	03/02/20	J	A	
189. Fidelity Blue Chip Growth (FBGRX)	A	Dividend	J	T	Buy	03/02/20	J		
190. American Beacon Large Cap Investor (AAGPX)	B	Dividend	J	T					
191. Diamond Hill Small Cap Class A (DHSCX)	A	Dividend	J	T					
192. Harbor Cap App Inst (HACAX)	C	Dividend	K	T	Buy	03/02/20	K		
193. Oakmark Intl Investor Cl (OAKIX)	A	Dividend	J	T					
194. Janus Henderson Enterprise T (JAENX)	B	Dividend	K	T					
195. Lazard Emerging Mkts Equity (LZOEX)	A	Dividend	J	T					
196. Morgan Sta Inst Inc Intl Equity Cl 1 (MSIQX)	A	Dividend	J	T					
197. Invesco Oppenheimer Dev Mkts R6 (ODVIX)		None			Sold	05/14/20	J	B	
198. Morgan Stanley Growth Portfolio A (MSEGX)	B	Dividend	J	T	Buy	01/08/20	J		
199.					Sold (part)	03/02/20	J	A	
200. T Rowe Price Overseas Stock I Cl (TROIX)		None			Sold	05/14/20	J	A	
201. T Rowe Price Mid Cap Value Adv (TAMVX)	A	Dividend	J	T					
202. Transamerica Intl Equity Cl I (TSWIX)	A	Dividend	J	T					
203. Wells Fargo Special Mid Cap Adm (WFMDX)	A	Dividend	J	T					
204. Fidelity Tax-Free Bond (FTABX)	A	Dividend	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 16 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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)
205. Strategic Adv Tax Sensitive Short Duration (FGNSX)	A	Dividend			Buy (add'l)	03/02/20	J		
206.					Sold	05/14/20	K		
207. Fidelity SAI Tax Free Bond Fund (FSAJX) (Y)									
208. Delaware Tax Free USA Class A (DMTFX)	A	Dividend	K	T					
209. DWS Managed Muni Bond Fd S (SCMBX)	B	Dividend	L	T					
210. T Rowe Price Tax Free High Yield (PRFHX)	A	Dividend	J	T	Sold (part)	01/08/20	J	A	
211.					Sold (part)	03/02/20	J	A	
212. Flexshares Trust Morningstar Global Upstream Nat Res (GUNR)	A	Dividend	J	T	Sold (part)	03/03/20	J		
213. Ishares MSCI EAFE ETF (EFA) (Y)									
214. Ishares Russell 1000 Value ETF (IWD)	A	Dividend	K	T					
215. Ishares Russell 1000 Growth ETF (IWF)		None			Buy	01/09/20	J		
216.					Sold	03/03/20	J		
217. Ishares Inc Core MSCI Emerging Mkts (IEMG)	A	Dividend	J	T	Sold (part)	03/03/20	J	A	
218. Select Spdr Tr Shs Ben Int Fin (XLF)	A	Dividend	J	T	Buy	05/14/20	J		
219. Vanguard Sector Index FDS Vanguard Finls (VFH)	A	Dividend	J	T	Buy	05/14/20	J		
220. Vanguard Index FDS Vanguard Growth (VUG)	A	Dividend	J	T	Buy (add'l)	03/03/20	J		
221. Ishares TR US Treas BD ETF (GOVT)	A	Dividend	J	T	Buy	05/14/20	J		

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 17 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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

Part VII, line 8: Inadvertently omitted from prior report.

Parenthetical numbers in Part VII are CUSIP numbers.

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.

American Century One Choice Inretir Inv (ARTOX) was American Century One Choice 2020 INV (ARBVX).

Morgan Sta Inst Inc Internal Equity (MIQBX) was Morgan Sta Inst Inc Intl Equity C1 1 (MSIQX).

Touchstone Credit Oppor II Fd C1 A (TMARX) was Touchstone Merger Arbitrage Fund C1 A (TMGAX).

Part VII, Strategic Advisers Large Cap (FALCX) was Strategic Advisers Value Fund (FVSAX).

Part VII, Private Mortgage, Binghamton, NY #2: the debtor is [REDACTED].

Private Mortgage, Binghamton, NY #3: the debtor is [REDACTED].

FINANCIAL DISCLOSURE REPORT

Page 18 of 18

Name of Person Reporting

Bennett, Mark J.

Date of Report

08/12/2021

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/ **Mark J. Bennett**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544