

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Underhill, Stefan R.	2. Court or Organization U.S. District Court (D. Conn.)	3. Date of Report 08/11/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address U.S. District Court 915 Lafayette Boulevard Bridgeport, CT 06604		
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.	Trustee	Family Insurance Trust
2.	Trustee	Family Testamentary Trust
3.	Visiting Lecturer	Yale University Law School
4.	Visiting Lecturer	University of Virginia School of Law
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.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Yale University School of Law - teaching	\$15,000.00
2. 2017	University of Virginia School of Law - teaching	\$10,000.00
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. 2017	Bridgeport Public Schools - 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. Federal Bar Council	February 19 - 26, 2017	Palm Springs, CA	Bar Association Conference (teach)	Travel, meals and lodging for self and spouse
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<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.	Northwestern Mutual Life Insurance Co.	Loans against cash value of life insurance	L
2.			
3.			
4.			
5.			

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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. Fidelity Contrafund (IRA)	A	Dividend	L	T					
2. Fidelity Balanced (IRA)	A	Dividend	L	T					
3. Northwestern Mutual whole life and 65 life policies	C	Dividend	M	T					
4. Connecticut Teachers' Retirement Board (vested pension)		None	M	T					
5. People's United Bank Accounts		None	J	T					
6. AXA Equitable whole life policy		None	J	T					
7. HSA Bank (health spending account) (X)		None	J	T					
8. Vanguard Prime Money Market Fund	A	Dividend	M	T	Sold (part)	04/10/17	K		
9.					Sold (part)	06/12/17	J		
10.					Buy (add'l)	11/21/17	M		
11. Vanguard Star Fund (inherited IRA) (X)	D	Dividend	O	T					
12. Vanguard Wellington Fund Admiral (inherited IRA) (X)	A	Dividend	J	T					
13. Vanguard Windsor Fund Admiral (X)	C	Dividend	N	T					
14. Comerica Bank Account (X)	A	Interest	N	T					
15. TIAA Savings Account (X)		None	M	T					
16. Nursing home return of capital (X)		None	M	T					
17. BB&T common stock (X)		None			Sold	09/05/17	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 L = \$50,001 - \$100,000	E = \$15,001 - \$50,000 M = \$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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	

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. Vacation home (X)		None	M	Q					
19. AT&T stock (X)					Sold	09/08/17	K		
20. Abbott Labs stock (X)					Sold	09/08/17	K	B	
21. Acuity Brands stock (X)					Sold	09/08/17	L		
22. Wells Fargo American Balanced Fund (X)					Sold	09/08/17	L	B	
23. Bristol Myers Squibb stock (X)					Sold	09/08/17	K	C	
24. Wells Fargo Capital Income Builder Fund (X)					Sold	09/08/17	L	C	
25. Costco Wholesale Corp. stock (X)					Sold	09/08/17	K		
26. Devon Energy Corp. stock (X)					Sold	09/08/17	J		
27. DowDupont Inc. stock (X)					Sold	09/08/17	K	A	
28. Frontier Communications stock (X)					Sold	09/08/17	J	A	
29. Home Depot stock (X)					Sold	09/08/17	L	A	
30. Illinois Tool Works stock (X)					Sold	09/08/17	K		
31. Wells Fargo Income Fund American (X)					Sold	09/08/17	K	B	
32. Intel Corp. stock (X)					Sold	09/08/17	K		
33. IBM Corp. stock (X)					Sold	09/08/17	L		
34. Johnson & Johnson stock (X)					Sold	09/08/17	K	B	

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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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Kellogg Co. stock (X)					Sold	09/08/17	K		
36. McDonald's Corp. stock (X)					Sold	09/08/17	K	C	
37. Merck & Co. stock (X)					Sold	09/08/17	K	A	
38. Mondelez Int'l Inc. stock (X)					Sold	09/08/17	K		
39. NOW Inc. stock (X)					Sold	09/08/17	J		
40. Principal Financial Group stock (X)					Sold	09/08/17	K		
41. JM Smucker Co. stock (X)					Sold	09/08/17	K		
42. Stryker Corp. stock (X)					Sold	09/08/17	L	B	
43. 3M Co. stock (X)					Sold	09/08/17	K	A	
44. Toronto Dominion Bank stock (X)					Sold	09/08/17	K	C	
45. Trinity Indus. Inc. stock (X)					Sold	09/08/17	J	A	
46. US Bancorp stock (X)					Sold	09/08/17	K		
47.									
48.									
49.									
50.									
51.									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. In Part III-B, my spouse did not earn a reportable amount from tutoring in 2017.
2. All educational loans listed in Part VI of my 2016 report were paid off during 2017.
3. Assets listed in Part VII include assets held by the trusts identified in Part I.
4. The cash values of the life insurance policies listed on line 3 of Part VII do not reflect the impact of the loans listed on line 1 of Part VI.
5. The life insurance policies listed on lines 3, 4, and 5 of Part VII of my 2016 report were held by the family insurance trust listed in Part I. The insured passed away in 2017. Those policies paid proceeds to the family insurance trust, and that trust terminated in 2017.
6. The appraisal of the vacation home listed on line 18 of Part VII was conducted in January 2014.
7. The assets listed in lines 19 through 46 of Part VII were held in a trust brokerage account for several months after I became a trustee until the account was liquidated. I have been unable to determine the income earned during that period on an asset-by-asset basis. The total amount of income earned during the relevant period by the listed assets, which consisted almost entirely of dividends, was in income range code F.

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IX. CERTIFICATION.

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

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

Signature: **s/ Stefan R. Underhill**

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