AO 10*
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Underhill, Stefan R.	U.S. District Court (D. Conn.)	05/13/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board of Directors	Federal Judges Association
2.	Visiting Lecturer	Yale University Law School
3.	Visiting Lecturer	University of Virginia School of Law
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	Yale University School of Law - teaching	$15,000.00
2.	2021	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.)*

	DATE	SOURCE
1.	2021	Bridgeport Public Schools - Salary & Part-time project consultant
2.		
3.		
4.		

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

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Northwestern Mutual Life Insurance Co.	Loans against cash value of life insurance	L
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Underhill, Stefan R.	05/13/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
1. Fidelity Contrafund (IRA)	C	Dividend			Buy (add'l)	02/17/21	J		
2.					Closed	11/05/21	M		
3. Fidelity Balanced (IRA)	D	Dividend			Buy (add'l)	04/07/21	J		
4.					Buy (add'l)	07/07/21	J		
5.					Buy (add'l)	10/11/21	J		
6.					Closed	11/05/21	M		
7. Northwestern Mutual whole life and 65 life policies	C	Dividend	M	T					
8. Connecticut Teachers' Retirement Board (vested pension)	E	Distribution	M	T					
9. People's United Bank Accounts		None	J	T					
10. AXA Equitable whole life policy		None			Redeemed	02/17/21	J		
11. Georgia Pacific Salaried Pension Plan	G	Distribution			Redeemed	11/03/21	M		
12. Vanguard Cash Reserve Federal Money Market Fund	A	Dividend	L	T	Buy (add'l)	06/22/21	J		
13.					Sold (part)	07/08/21	J		
14.					Sold (part)	08/09/21	J		
15.					Sold (part)	08/27/21	J		
16.					Sold (part)	09/09/21	J		
17.					Sold (part)	10/08/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Underhill, Stefan R.	05/13/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
18.					Sold (part)	11/05/21	J		
19.					Sold (part)	11/09/21	J		
20.					Sold (part)	12/09/21	J		
21.					Buy (add'l)	12/10/21	J		
22. Vanguard Star Fund	A	Dividend	K	T					
23.					Buy (add'l)	07/09/21	J		
24.					Buy (add'l)	08/09/21	J		
25.					Buy (add'l)	09/09/21	J		
26.					Buy (add'l)	10/08/21	J		
27.					Buy (add'l)	11/09/21	J		
28.					Buy (add'l)	12/09/21	J		
29. Vanguard Star Fund (inherited IRA)	A	Dividend	J	T	Distributed (part)	02/12/21	J		
30.					Sold (part)	11/05/21	M		
31. Vanguard Wellington Fund Admiral (inherited IRA)	A	Dividend			Sold	11/05/21	J		
32. Vanguard Growth Index Fund Admiral (inherited IRA)	A	Dividend	K	T	Buy	11/05/21	K		
33. Vanguard Total Stock Market Index Admiral (inherited IRA)	B	Dividend	M	T	Buy	11/05/21	M		
34. Vanguard Extended Market Index Admiral (inherited IRA)	A	Dividend	K	T	Buy	11/05/21	K		

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	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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		
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35. Vanguard Intermediate Term Bond Index Admiral (inherited IRA)	A	Dividend	K	T	Buy	11/05/21	K		
36. Vanguard Total Bond Market Index Admiral (inherited IRA)	A	Dividend	J	T	Buy	11/05/21	J		
37. Vanguard Growth Index Fund Admiral		None			Buy	11/05/21	J		
38.					Sold	12/10/21	J		
39. Vanguard Windsor Fund Admiral	A	Dividend			Sold	12/10/21	J		
40. Vanguard Total International Stock Index Fund ETF	B	Dividend	M	T	Buy (add'l)	11/12/21	J		
41.					Buy (add'l)	12/23/21	J		
42. Vanguard FTSE Developed Markets ETF	A	Dividend	J	T	Buy	11/08/21	J		
43.					Buy (add'l)	12/23/21	J		
44. Vanguard Short Term Bond ETF	A	Dividend	K	T	Buy	11/08/21	K		
45.					Buy (add'l)	11/09/21	J		
46.					Buy (add'l)	12/06/21	J		
47.					Buy (add'l)	12/29/21	J		
48. Vanguard Total International Bond Index ETF	B	Dividend	J	T	Buy	11/08/21	L		
49.					Buy (add'l)	11/09/21	J		
50.					Buy (add'l)	12/06/21	K		
51.					Buy (add'l)	12/29/21	J		

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2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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52. Vanguard Intermediate Term Bond ETF	A	Dividend	K	T	Buy	11/08/21	K		
53.					Buy (add'l)	11/09/21	J		
54.					Buy (add'l)	12/06/21	J		
55.					Buy (add'l)	12/29/21	J		
56. AUGGIE Movie, LLC investment units		None	J	U					
57.									
58.									
59.									
60.									
61.									
62.									
63.									
64.									
65.									
66.									
67.									
68.									

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69.									
70.									
71.									
72.									
73.									
74.									
75.									

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

1. The cash values of the life insurance policies listed on line 7 of Part VII do not reflect the impact of the loans listed on line 1 of Part VI.
2. The AXA Equitable whole life policy listed on line 6 of Part VII was liquidated during 2021.
3. The Vanguard Cash Reserve Federal Money Market Fund was listed on last year's report as Vanguard Prime Money Market Fund.

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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
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Washington, D.C. 20544