AO 10*
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2022

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.)	01/07/2024
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 - Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2022 **to** 12/31/2022
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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Trust #1
2.	Visiting Lecturer	Yale University Law School
3.	Visiting Lecturer	University of Virginia School of Law
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.		

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.	2022	Yale University School of Law - teaching	$15,000.00
2.	2022	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 AND TYPE
1.	2022	Bridgeport Public Schools - Consulting Fees
2.	2022	Connecticut Teachers' Retirement Benefits
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.					

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.	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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. Northwestern Mutual whole life and 65 life policies	C	Dividend	M	T					
2. Connecticut Teachers' Retirement Board (vested pension)	E	Distribution							
3. M&T Bank accounts	A	Int./Div.	J	T					
4. Vanguard Cash Reserves Federal Money Market Fund Admiral Shares	A	Dividend	K	T					
5. Vanguard Star Fund	B	Dividend	M	T	Buy (add'l)	01/07/22	J		
6.					Buy (add'l)	02/09/22	J		
7.					Sold (part)	02/10/22	J		
8.					Buy (add'l)	03/09/22	J		
9.					Sold (part)	03/21/22	K		
10.					Buy (add'l)	04/08/22	J		
11.					Sold (part)	04/18/22	J		
12.					Buy (add'l)	05/09/22	J		
13.					Sold (part)	05/12/22	J		
14.					Buy (add'l)	06/09/22	J		
15.					Buy (add'l)	07/08/22	J		
16.					Sold (part)	07/12/22	K		
17.					Buy (add'l)	08/09/22	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

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

	A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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)	(5) Identity of buyer/seller (if private transaction)
18.						Buy (add'l)	09/09/22	J		
19.						Buy (add'l)	10/07/22	J		
20.						Buy (add'l)	11/09/22	J		
21.						Sold (part)	11/15/22	K		
22.						Buy (add'l)	12/09/22	J		
23.	Vanguard Windsor Fund Admiral Shares	A	Dividend	K	T	Sold (part)	05/12/22	J		
24.	Vanguard Extended Market Index Fund Admiral Shares (Inherited IRA)	A	Dividend	K	T					
25.	Vanguard Growth Index Fund Admiral Shaares (Inherited IRA)	A	Dividend	K	T					
26.	Vanguard Intermediate-Term Bond Index Fund Admiral Shares (Inh. IRA)	A	Dividend	J	T	Distributed (part)	01/19/22	J		
27.	Vanguard Total Bond Market Index Fund Admiral Shares (Inherited IRA)	A	Dividend	J	T					
28.	Vanguard Total Stock Market Index Fund Admiral Shares (Inherited IRA)	B	Dividend	L	T					
29.	Vanguard Federal Money Market Fund (IRA)	A	Dividend	K	T					
30.	Vanguard Extended Market ETF (IRA)	A	Dividend	J	T					
31.	Vanguard FTSE Developed Markets ETF (IRA)	A	Dividend	J	T					
32.	Vanguard Growth ETF (IRA)	A	Dividend	J	T					
33.	Vanguard Intermediate Term Bond ETF (IRA)	A	Dividend	K	T					
34.	Vanguard Short Term Bond ETF (IRA)	A	Dividend	K	T					

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35. Vanguard Total Bond Market ETF (IRA)	A	Dividend	K	T					
36. Vanguard Total International Bond Index ETF (IRA)	D	Dividend	L	T					
37. Vanguard Total International Stock Index Fund ETF (IRA)	C	Dividend	M	T					
38. Vanguard Total Stock Market ETF (IRA)	A	Dividend	L	T					
39. AUGGIE Movie, LLC investment units	A	Distribution	J	U					
40. Alphabet, Inc.	A	Dividend	J	T					
41. Amazon.com, Inc.	A	Dividend	K	T					
42.									
43.									
44.									
45.									
46.									

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

1. Neither I nor my spouse receives any income from nor has a beneficial interest in the assets of the trust identified on line 1 of Part I.
2. The cash values of the life insurance policies listed on line 1 of Part VII do not reflect the impact of the loans listed on line 1 of Part VI.
3. The pension listed on line 2 of Part VII produces income, but there is no asset other than the stream of income associated with that pension. I am not qualified to estimate the net present value of that income stream.
4. The bank accounts listed on line 3 of Part VII were held at People's United Bank at the start of 2022. During that year, M&T Bank acquired People's United Bank.

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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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