AO 10*
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

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.)	08/12/2024
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	01/01/2023 **to** 12/31/2023
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.	Trustee	Trust # 1
2.	Visiting Lecturer	University of Virginia School of Law
3.		
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.	2023	University of Virginia School of Law - teaching	$10,000.00
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
1.	2023	Connecticut Teachers' Retirement Benefits (pension)
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.					

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Underhill, Stefan R.	08/12/2024

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	K
2.			
3.			
4.			
5.			

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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. 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)	
1.	Northwestern Mutual whole life and 65 life policies	D	Dividend	M	T					
2.	Connecticut Teachers' Retirement Board (vested pension)	E	Distribution							
3.	M&T Bank accounts	A	Interest	J	T					
4.	Vanguard Cash Reserves Federal Money Market Fund	A	Int./Div.	L	T					
5.	Vanguard Star Fund	A	Dividend	K	T					
6.	Vanguard Windsor Fund Admiral	A	Dividend	K	T					
7.	Vanguard Extended Market Index Fund Admiral	A	Dividend	K	T					
8.	Vanguard Growth Index Fund Admiral	A	Dividend	K	T					
9.	Vanguard Intermediate-Term Bond Index Fund Admiral Y	A	Dividend			Sold	05/24/23	J		
10.	Vanguard Total Bond Market Index Fund Admiral	A	Dividend	K	T					
11.	Vanguard Total Stock Market Index Fund Admiral	C	Dividend	M	T					
12.	Vanguard Extended Market ETF	A	Dividend	K	T	Sold (part)	05/24/23	J		
13.						Sold (part)	07/10/23	J		
14.	Vanguard FTSE Developed Markets ETF	A	Dividend	J	T	Sold (part)	05/24/23	J		
15.						Sold (part)	07/10/23	J		
16.	Vanguard Growth ETF	A	Dividend	K	T					
17.	Vanguard Intermediate Term Bond ETF	A	Dividend	J	T	Sold (part)	05/24/23	K		

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) 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)	
18.					Sold (part)	07/10/23	J		
19. Vanguard Short Term Bond ETF	A	Dividend	J	T	Sold (part)	01/24/23	K		
20.					Sold (part)	07/10/23	J		
21. Vanguard Total Bond Market ETF	B	Dividend	M	T	Buy (add'l)	05/24/23	K		
22.					Buy (add'l)	05/25/23	J		
23.					Buy (add'l)	05/26/23	K		
24.					Buy (add'l)	05/30/23	J		
25.					Buy (add'l)	07/10/23	J		
26.					Buy (add'l)	07/10/23	J		
27. Vanguard Total International Bond Fund Index ETF	C	Dividend	L	T	Sold (part)	02/07/23	J		
28.					Sold (part)	05/08/23	J		
29.					Sold (part)	05/24/23	J		
30.					Buy (add'l)	07/10/23	J		
31.					Buy (add'l)	07/27/23	J		
32.					Sold (part)	11/06/23	J		
33. Vanguard Total International Stock Index Fund ETF	A	Dividend	M	T	Buy	01/26/23	J		
34.					Buy (add'l)	01/30/23	J		

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35.					Buy (add'l)	04/28/23	J		
36.					Buy (add'l)	05/26/23	J		
37.					Buy (add'l)	05/25/23	J		
38.					Sold (part)	07/10/23	J		
39.					Buy (add'l)	10/25/23	J		
40.					Buy (add'l)	10/25/23	J		
41. Vanguard Total Stock Market ETF	A	Dividend	M	T	Buy (add'l)	05/26/23	K		
42.					Sold (part)	08/07/23	J		
43.					Sold (part)	08/07/23	J		
44.					Sold (part)	11/06/23	J		
45. AUGGIE Movie, LLC investment units Y		None							
46.									
47.									
48.									
49.									

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

1. Neither I nor my [redacted] receives any income from nor has a beneficial interest in the assets of the trust identified on line 1 of Part I. Thus, there are no reportable assets held by the trust.

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.

4. The stocks listed on lines 40 and 41 of Part VII of my 2022 report are held in the trust identified on line 1 of Part I, and therefore are not reportable.

5. The dividends from all Vanguard funds listed in Part VII were reinvested.

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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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