AO 10*
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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.)	05/14/2013
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	01/01/2012 to 12/31/2012

7. Chambers or Office Address

U.S. District Court
915 Lafayette Blvd.
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	[redacted] Insurance Trust
2.	Trustee	[redacted] Trust #4
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.)*

	DATE	PARTIES AND TERMS
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2012	Yale University School of Law - teaching	$15,000.00
2. 2012	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. 2012	Bridgeport Public Schools - Salary
2. 2012	Self-employed tutor
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.	Amanda Hungerford	August 30 - September 3, 2012	Portland, OR	Perform wedding	Travel, hotel
2.	Katherine Penberthy	September 27 - 30, 2012	Washington, DC	Perform wedding	Hotel
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.)*

	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 University	Educational Loans	K
2.	Citibank	Educational Loans	J
3.	Northwestern Mutual Life Insurance Co.	Loan against cash value of life insurance	L
4.	U.S. Department of Education	Educational Loans	K
5.	Sallie Mae	Educational Loans	K

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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)	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)
1. Fidelity Contrafund (IRA)	A	Dividend	K	T	Sold (part)	04/10/12	J		
2. Fidelity Balanced (IRA)	A	Dividend	K	T	Sold (part)	04/10/12	J		
3. Artisan International Fund	A	Distribution	J	T					
4. Legg Mason Value Trust		None	J	T					
5. Vanguard Star Fund	A	Dividend	K	T	Sold (part)	08/17/12	K		
6. Massachusetts Mutual Life Ins. Co. enh. whole life policy		None	K	T					
7. Guardian Life Ins. Co. whole life policy		None	K	T					
8. Conn. General Life Ins. Co. universal life policy		None	M	T					
9. Northwestern Mutual whole life and 65 life policies		None	M	T					
10. Connecticut Teachers' Retirement Board (vested pension)		None	L	T					
11. People's United Bank accounts	A	Interest	J	T					
12. AXA Equitable whole life policy		None	J	T					
13.									
14.									
15.									
16.									
17.									

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		

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

Part VII:
- Assets listed in Part VII include assets held by [redacted] trusts identified in Part I.
- Lines 1 and 2 of Part VII of my 2011 report should have reflected partial sales of J value on November 28, 2011; those sales were effectively cancelled by rollover contributions of identical amonts on January 17, 2012.
- The cash values of the life insurance policies listed on lines 6, 7 and 8 of Section VII do not reflect the impact of the loans taken against those policies, which are held in trust.
- The cash values of the life insurance policies listed on line 9 of Section VII do not reflect the impact of the loans reported on line 3 of Section VI.

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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