

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Richardson, Robert A.	2. Court or Organization District Court for the District of Connecticut	3. Date of Report 07/24/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States District Court Abraham Ribicoff Federal Building 450 Main Street Hartford, CT 06103		
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. Partner	Just Cause, LLC (law firm building partnership). My interest in the building partnership was bought out with payments in 2016 and 2017.
2.	
3.	
4.	
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. Nov. 2012	Partnership agreement for Garrison, Levin-Epstein, Richardson, Fitzgerald & Pirrotti. Establishes the buyout formula for departing partners.
2. 2012	Partnership for Just Cause, LLC (Building partnership agreement)
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. 2016	Former law firm buying out my partnership interest. This payment was inadvertently disclosed on my initial report in 2016 but I am listing it again.	\$34,000.00
2. 09/2016	Law firm building partnership (Just Cause, LLC) bought out my interest. Payments made in 2016 and 2017. This is the 2016 payment.	\$15,000.00
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.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
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.			
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. Citizens Bank	A	Interest	K	T					
2. Wells Fargo Bank Cash account	A	Int./Div.	K	T					
3. Disney (stock)	A	Dividend	J	T					
4. American Funds Equity Fund A	C	Dividend	K	T					
5. Oppenheimer Funds Capital Fund A	B	Dividend	L	T					
6. Mass Mutual (whole life insurance)		None	K	T					
7. John Hancock Money Market Fund		None	O	T	Open	10/11/16	O		New 401K Account
8. Wegener Corp	A	Int./Div.	J	T					
9. UBS (cash balance)		None	J	T					
10. JP Morgan Core Bond (former 401k fund)		None	K	T	Sold	10/11/16	K	B	Transfer to new 401k line7
11. JP Morgan Mid Cap		None	L	T	Sold	10/11/16	L	C	Transfer to new 401k line7
12. JP Morgan Intrepid Growth		None	M	T	Sold	10/11/16	M	D	Transfer to new 401k line7
13. JP Morgan Emerging Markets		None	K	T	Sold	10/11/16	K	B	Transfer to new 401k line7
14. JP International Equity		None	K	T	Sold	10/11/16	K	B	Transfer to new 401k line7
15. JP Morgan Government Bond		None	M	T	Sold	10/11/16	M	D	Transfer to new 401k line7
16. JP Morgan U.S. Small Cap		None	L	T	Sold	10/11/16	L	C	Transfer to new 401k line7
17. JP Morgan Equity Income		None	L	T	Sold	10/11/16	L	C	Transfer to new 401k line7

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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 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.	JP Morgan Total Return		None	M	T	Sold	10/11/16	M	D	Transfer to new 401k line7
19.	Morgan Stanley Bank, NA		None	J	T	Sold	10/11/16	J	A	
20.										
21.										
22.										
23.										
24.										
25.										
26.										
27.										
28.										
29.										
30.										
31.										
32.										
33.										
34.										

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 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35.									
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Although I disclosed them in my 2016 Financial Disclosure Report, the assets disclosed in Part VII, Lines 8 and 9 of my 2016 report I inadvertently omitted those assets from my initial disclosure report. They were not newly acquired in 2016.

Regarding Part VII, line 7, I listed my 401K account in Part VII of my initial disclosure report. In October of 2016, my former employer moved its entire 401k account to John Hancock so all of the funds in the prior 401k account (Part VII, lines 11-19) were sold as part of the transfer of the 401k from Morgan Stanley to John Hancock. after the firm's 401k was transferred to John Hancock, John Hancock notified me of my 401k balance and that my money was being held in a single fund [John Hancock Money Market Fund -- there were no other funds in that fund]. (See Part VII, line 10). I subsequently transferred my money from John Hancock to my federal T.S.P.

As for the assets that I use to co-own when the firm's 401k was being administered by Morgan Stanley, neither I nor the fiduciary of the 401k have a document that identifies the specific dollar amount of each specific fund that I owned. The funds in the 401k account were pooled so Morgan Stanley did not allocate a specific amount of each fund to each participant. However, Morgan Stanley did tell me my percentage of the entire 401k pool, so using that percentage, I calculated the approximate dollar amount that I owned in each specific fund that was held in the firm's 401k. (See Part VII, lines 11-19, Column C). In terms of the amount of money that I specifically gained from each specific fund when the 401k was transferred to John Hancock, Morgan Stanley (the former 401k provider) could not and would not provide me with a specific dollar amount that I gained on the sale of each specific fund. However, using the ownership values that I approximated and reported in my initial report as well as the ownership values that I approximated in the current report (Part VII, lines 11-19, Column C), I have approximated the amount of my gain on each fund in the 401k and disclosed that approximation in Part VII, lines 11-19, Column D.

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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/ **Robert A. Richardson**

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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