

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Hall, Peter W.	2. Court or Organization Court of Appeals -- 2d Circuit	3. Date of Report 08/15/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States Court of Appeals P.O. Box 885 Rutland, VT 05702-0885		
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. Insert signature on last page.		

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.	Member, Executive Committee	Joan Loring Wing Inns of Court Chapter, Southern Vermont
2.	Member, Board of Directors	Federal Judges Association
3.	Member, Board of Trustees	Vermont Law School
4.	Vice President, First Study Commission	International Association of Judges
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	Self-employed -- veterinarian
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Bar Council	February 18-27, 2011	Los Cabos, Mexico	Educational Seminar -- Program participant	Transportation, food, lodging
2. New York Law School	March 18-20, 2011	New York, NY	Participating as moot court judge	Transportation, food, lodging
3. The Hotchkiss School	April 7-8, 2011	Lakeville, CT	Attend Award Ceremony	Food
4. New York State Bar Association	May 21-22, 2011	Newport, RI	Educational Seminar -- Program participant	Transportation, food, lodging
5. Federal Judges Association	May 26-27, 2011	Washington, DC	Attend Board of Directors Meeting	Transportation, food, lodging

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6.	Vermont Law School	July 31-August 1, 2011	Vergennes, Vermont	Attend Trustees Meeting	Food, lodging
7.	Turkish Judges Association	September 2-10, 2011	Istanbul, Turkey	Attend International Association of Judges Meeting	Food
8.	Vermont Law School	October 21-22, 2011	South Royalton, Vermont	Attend Trustees Meeting	Food
9.	Vermont Law School	December 6-6, 2011	South Royalton, Vermont	Attend Trustees Meeting	Food

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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.	Bank of America	Credit card	J
2.	Massachusetts Mutual Life Insurance Company	Loan against whole life policy value	J
3.	NationwideFinancial Services Insurance	Loan against whole life policy value	J
4.	DLL Commercial Finance Solutions	Equipment loan w.r.t Part VII, Line 19	M
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. CIGNA (common)	A	Dividend	J	T					
2. IRA: Fidelity Asset Manager 50% Mutual Fund	A	Dividend	J	T					
3. Interest in timber & land, Shaftsbury, VT	B	Royalty	K	W	Sold (part)	12/21/11	J	B	Edward Legacy
4. Interest in timber & land, Shaftsbury, VT	A	Rent	K	W					
5. Rental Rutland, VT	D	Rent	K	W					
6. Nationwide Life Ins. Co. of Amer. whole life ins. Policy	A	Dividend	K	U					
7. Massachusetts Mutual Life Ins. Co. -- whole life ins. Policy	A	Dividend	K	U					
8. Peoples United	A	Interest	K	T					
9. Berkshire Bank	A	Interest	J	T					
10. Heritage Family Credit Union	A	Interest	J	T					
11. Edward D. Jones Money Market Account	B	Dividend	J	T					
12. Vermont Educ. & Health Bldgs Fin.Revenue Bonds	A	Interest	K	T					
13. American Funds (mutual fund) -- Income Fund of America	A	Int./Div.	J	T					
14. Federated (mutual fund) -- Prime Cash Series (Y)									
15. Coca Cola Co.	A	Dividend	J	T					
16. IDX		None	J	T					
17. Western National Life Insurance Company	A	Int./Div.	J	T					

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	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	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.)

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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				
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18. [REDACTED]	E	Distribution	J	U					
19. Credit Union of Vermont(X)	A	Interest	J	T					
20. UVM & State Agriculture College Revenue Bonds	A	Interest	J	T					
21. 3M Company (X)	A	Dividend	J	T	Buy	10/20/11	J		
22. Caterpillar, Inc. (X)		None	J	T	Buy	10/20/11	J		
23. IRA: American Funds -- High Income Trust (X)	A	Dividend	J	T	Buy	10/20/11	J		
24. IRA: American Funds -- Internat'l Growth & Income Fund (X)	A	Dividend	J	T	Buy	10/20/11	J		
25. IRA: American Funds -- American Mutual Fund (X)	A	Dividend	J	T	Buy	10/20/11	J		
26. IRA: American Funds -- Income Fund of America (X)	A	Dividend	J	T	Buy	10/20/11	J		

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

Part VII, Investments and Trusts, line 12, the subject bonds were reported as "Redeemed" in Part VII, line 13 of the 2010 Financial Disclosure Report; they should have been reported as "Redeemed (part);" thus, Column C(1) should have been "K" and C(2) should have been "T."

Part VII, Investments and Trusts, line 14, the subject fund was included in error on Part VII, line 15 of the 2010 Financial Disclosure Report. The fund ceased being reportable as of the end of calendar year 2009.

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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/ Peter W. Hall**

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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