

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) Hayden, Katharine S.	2. Court or Organization US District Court - DNJ	3. Date of Report 08/08/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III 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 District Court USPO & Courthouse Building Newark, New Jersey 07101		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	Seton Hall University School of Law
2. Board of Directors	Federal Judges Association
3.	
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.	

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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. 8/11-12/11	Seton Hall University School of Law, Adjunct Professor - Fall Intersession	\$6,000.00
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 AND TYPE
1. 1/11-12/11	Partner, Law Firm - [REDACTED]
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. EDR Hearing	3-15-2011 - 3-17-2011	District of Virgin islands - St. Croix	Court Hearing	Hotel, Transportation, Meals
2. Committee on Defender Services	2-25-2011 - 2-27-2011	San Antonio, Texas	Committee Meeting	Hotel, Transportation, Meals
3. Court of Appeals Sitting	4-28-2011 - 4-28-2011	Philadelphia, PA	Court Hearing	Hotel, Transportation, Meals
4. Federal Judges Association	4-12-2011 - 4-13-2011	Washington, DC	FJA Board Meeting	Hotel, Transportation, Meals
5. Judicial Conference	5-4-2011 - 5-6-2011	Philadelphia, PA	Third Circuit Judicial Conference	Hotel, Transportation, Meals

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6.	Committee on Defender Services	6-12-2011 - 6-13-2011	Coronado, CA	Committee Meeting	Hotel, Transportation, Meals
7.	Committee on Defender Services	12-4-2011 - 12-6-2011	New Orleans, LA	Committee Meeting	Hotel, Transportation, Meals

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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. BROKERAGE ACCOUNT #1									
2. - Arbor Realty Trust Inc. Common Stock		None	J	T					
3. - Consolidated Edison Inc. Common Stock	A	Dividend	K	T					
4. - Duke Energy Corp. (Holding Company) Common Stock	A	Dividend	J	T					
5. - Encana Corp-Cad Common Stock	A	Dividend	J	T					
6. - Enterprise Prods Partners LP Common Stock	B	Distribution	K	T					
7. - GlaxoSmithKline PLC SP ADR Common Stock	A	Dividend	J	T					
8. - JP Morgan Chase & Co. Common Stock	A	Dividend	J	T					
9. - Kimberly Clark Corp. Common Stock	A	Dividend	K	T					
10. - Nokia Corp. Sponsored ADR Common Stock	A	Dividend	J	T	Buy (add'l)	01/31/11	J		
11. - Pentair Inc. Common Stock	A	Dividend	J	T					
12. - Pfizer Inc. Common Stock	A	Dividend	J	T					
13. - Sasol Ltd., Spons. ADR Common Stock	A	Dividend	K	T					
14. - Walt Disney Co. Common Stock	A	Dividend	K	T					
15. - Altria Group Inc. Common Stock	A	Dividend	J	T					
16. - Aqua America Inc. Common Stock	A	Dividend	J	T					
17. - AT&T Inc. Common Stock	B	Dividend	K	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.)

☐ 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)

18. - Chesapeake Energy Corp. Common Stock	A	Dividend	K	T					
19. - Honeywell Intl Inc. Common Stock	A	Dividend	K	T	Buy (add'l)	08/12/11	J		
20. - Microsoft Corp Common Stock	A	Dividend	J	T					
21. - Mitsubishi UFJ Financial Group Inc. ADR Common Stock	A	Dividend	J	T					
22. -Procter & Gamble Co. Common Stock	A	Dividend	K	T					
23. - Wal-Mart Stores Inc. Common Stock	A	Dividend	J	T					
24. -Citibank NA South Dakota Bank Deposit Program	A	Interest							See Note in Part VIII
25. -CVS Caremark Corp. Common Stock	A	Dividend	K	T					
26. - Transocean Ltd Switzerland Common Stock	A	Dividend	J	T					
27. - Seaspan Corp Common Stock	A	Distribution	J	T					
28. - Energy Transfer Partners LP Common Stock	B	Distribution	K	T					
29. - Aercap Holdings NV Common Stock		None			Sold	08/12/11	J		
30. - Home Depot Inc Common Stock	A	Dividend	J	T					
31. - Layne Christensen Co Common Stock		None	J	T					
32. - Lowes Companies Inc Common Stock	A	Dividend	J	T					
33. - McDonalds Corp Common Stock	A	Dividend	K	T					
34. - Wells Fargo & Co Common Stock	A	Dividend	J	T					

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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 \$5,000,000	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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☐ 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				
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35. - Bristol Myers Squibb Co. Common Stock	A	Dividend	J	T					
36. - Conagra Foods Inc. Common Stock	A	Dividend	J	T					
37. - Deere & Co. Common Stock	A	Dividend	K	T					
38. - El Paso Corp. Common Stock	A	Dividend	J	T					
39. - General Electric Co. Common Stock	A	Dividend	J	T					
40. - H J Heinz Co. Common Stock	A	Dividend	K	T					
41. - Hewlett Packard Co. Common Stock	A	Dividend			Sold	12/19/11	J		
42. - Kellogg Co. Common Stock	A	Dividend	J	T					
43. - Kraft Foods Inc. Class A Common Stock	A	Dividend	J	T					
44. - Marathon Oil Corp. Common Stock	A	Dividend			Sold	03/08/11	J	A	
45. - National Oilwell Varco Inc. Common Stock	A	Dividend	J	T					
46. - Nustar Energy LP Common Stock	B	Distribution	K	T					
47. - Otter Tail Corp. Common Stock	A	Dividend	J	T					
48. - Parker-Hannifin Corp. Common Stock	A	Dividend	K	T	Buy (add'l)	10/18/11	J		
49. - Philip Morris Intl Inc. Common Stock	A	Dividend	K	T					
50. - Quanta Services Inc. Common Stock		None	J	T					
51. - Raytheon Company Common Stock	A	Dividend	J	T					

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52. - Cenovus Energy Inc. Common Stock	A	Dividend	K	T					
53. - General Cable Corp Comon Stock		None	J	T					
54. - Louisiana Pacific Corp Common Stock		None			Sold	02/09/11	J	A	
55. - Unilever NY NY Shs Common Stock	A	Dividend	J	T					
56. - Florida Citizens Pty Ins Corp Sr Sec Municipal Bond	A	Interest	K	T					
57. - NJ Edu Facs Auth Rev Rfndg Bonds - Uni of Med/Den of NJ	C	Interest	L	T					
58. - New Jersey ST Edl Facs Auth Rev Refdg - Kean Univ Bond	B	Interest	K	T					
59. - California St Var Purp Gent Oblig Municipal Bond	B	Interest	K	T					
60. - AXT Inc. Common Stock		None	J	T					
61. - The Babcock & Wilcox Company Common Stock		None			Sold	08/24/11	J		
62. - Boeing Co. Common Stock	A	Dividend	K	T					
63. - McDermott Internantional Inc. Common Stock		None			Sold	08/12/11	J		
64. - New York Community Bancorp Common Stock	A	Dividend	J	T					
65. - Public Service Enterprise Grp Common Stock	A	Dividend	J	T					
66. - Total S.A Spons ADR Common Stock	A	Dividend	K	T					
67. - Tupperware Corp. Common Stock	A	Dividend	J	T					
68. - Vodafone Group PLC Spons ADR New Common Stock	A	Dividend	J	T					

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69. - Whirlpool Corp Common Stock	A	Dividend	J	T					
70. - Casino Reinvestment Dev Auth NJ Bond	A	Interest	K	T					
71. - NJ Higher Ed Assistant Auth Bond	B	Interest	K	T					
72. - El Du Pont De Nemours & Co Common Stock	A	Dividend	J	T	Buy	01/13/11	J		
73. - Eaton Corp Common Stock	A	Dividend	J	T	Buy	08/12/11	J		
74. - Emerson Electric Co Common Stock	A	Dividend	J	T	Buy	04/12/11	J		
75. - Nucor Corp Common Stock	A	Dividend	J	T	Buy	01/13/11	J		
76.					Buy (add'l)	02/09/11	J		
77.					Buy (add'l)	03/08/11	J		
78.					Buy (add'l)	06/17/11	J		
79. - Virgin Islands PFA Rev Bond	B	Interest	K	T	Buy	01/25/11	K		
80. - Citibank NA Bank Deposit Program	A	Interest	J	T					See Note in Part VIII
81. - Torchmark Corp Common Stock	A	Dividend			Buy	08/12/11	J		
82.					Sold	10/18/11	J	A	
83. BROKERAGE ACCOUNT #2									
84. - Fidelity Investments Money Market Account	A	Dividend	J	T					
85. - Western Asset Municipal Money Market	A	Interest	J	T					

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86. BROKERAGE ACCOUNT #3									
87. - Citibank NA Bank Deposit	A	Interest	L	T					
88. IRA/401K ACCOUNTS									
89. - IRA Smith Barney Money Funds Inc. Class A	A	Interest	J	T					
90. - IRA Smith Barney Money Funds Class A	C	Interest	M	T					

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

Part VII-Line 24 - Citibank NA South Dakota Bank Deposit Program is a sweep money market bank account which had a zero balance at the end of the reporting period

Part VII-Line 80 - Citibank NA Bank Deposit Program is a sweep money market bank account

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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/ **Katharine S. Hayden**

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