

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                          |                                                              |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br>-Margolis, Joan G.                                                                                                        | <b>2. Court or Organization</b><br>District of Connecticut                                                                                                                                                                                                                               | <b>3. Date of Report</b><br>4/7/2016                         |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br>U.S. Magistrate Judge (Full)                                       | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br>141 Church Street, Room 303<br>New Haven, Connecticut 06510                                                                                        |                                                                                                                                                                                                                                                                                          |                                                              |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                              |

## 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. Trustee      | Family Philanthropic Funds         |
| 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.          |                          |
| 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.)*DATESOURCE AND TYPEINCOME  
(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.)*DATESOURCE AND TYPE

1. 2015

Husband, Self-Employed Attorney

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. J.P. Morgan Chase Bank, New Haven, CT, Bank Accts.&IRA, Bank                                                             | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. First Niagara Bank (New Alliance), New Haven, Bank Accounts                                                              | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. State of Israel,Bonds (Mazel Tov Savings Bonds)                                                                          | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. State of Israel Bonds (7th Dev. Reg. Savings Amended Bond)                                                               | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Connecticut Light & Power Co., Preferred Stock                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. United Illuminating Co., Common Stock                                                                                    | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. International Business Machines, Stock                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Distributed                                     | 05/12/15                | J                               | A                              | Adult Child                                                       |
| 8. Puerto Rico Zero Coupon Bonds                                                                                            | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. J.P. Morgan Fund (formerly Chase Vista Trust)                                                                            | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Columbia Seligman Henderson Glob. Tech. Fund (fka Seligman)                                                             | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Microsoft Corp., Stock                                                                                                  | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Fundamental Investors, Inc.                                                                                             | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Growth Fund of America, Inc.                                                                                            | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Capital World Growth & Income Fund                                                                                      | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Small Cap World Fund, Inc.                                                                                              | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. New World Fund                                                                                                          | A                                       | Dividend                                      | K                                               | T                                         | Buy (add'l)                                     | 04/14/15                | K                               |                                |                                                                   |
| 17. Euro Pacific Growth Fund                                                                                                | B                                       | Dividend                                      | K                                               | T                                         | Buy (add'l)                                     | 04/14/15                | K                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                          |   |          |   |   |             |          |   |   |             |
|--------------------------------------------------------------------------|---|----------|---|---|-------------|----------|---|---|-------------|
| 18. New Economy Fund SBI                                                 | A | Dividend | K | T |             |          |   |   |             |
| 19. American Mutual Funds, Inc.                                          | A | Dividend | K | T |             |          |   |   |             |
| 20. Columbia Seligman Comm. & Info. (fka Seligman Comm.), Stock          | A | Dividend | K | T |             |          |   |   |             |
| 21. Xcel Energy, Stock                                                   | A | Dividend |   |   | Distributed | 09/09/15 | K | A | Adult Child |
| 22. J.P. Morgan Chase Corp., Stock                                       | A | Dividend | K | T |             |          |   |   |             |
| 23. Cisco Systems Inc., Stock                                            | B | Dividend | K | T |             |          |   |   |             |
| 24. Pfizer, Inc., Stock                                                  | A | Dividend | J | T |             |          |   |   |             |
| 25. Nippon Telegraph & Telephone Co., Stock                              | A | Dividend | J | T |             |          |   |   |             |
| 26. Amgen, Inc., Stock                                                   | A | Dividend | K | T |             |          |   |   |             |
| 27. Qualcomm, Inc., Stock                                                | A | Dividend | J | T |             |          |   |   |             |
| 28. Proctor & Gamble Co., Stock                                          | A | Dividend | K | T |             |          |   |   |             |
| 29. Home Depot, Stock                                                    | A | Dividend | K | T |             |          |   |   |             |
| 30. Mayflower Advisors, LLC (formerly Wells Fargo Bank, NA), Market Fund | A | Interest | L | T |             |          |   |   |             |
| 31. General Electric, Stock                                              | A | Dividend | K | T |             |          |   |   |             |
| 32. AXA Equitable Fund                                                   | A | Interest | K | T |             |          |   |   |             |
| 33. Pub. Svc. Enter. Gr., Inc. (fka PSEG), Stock                         | B | Dividend | K | T |             |          |   |   |             |
| 34. Conn. State Higher Ed. Supp. LN Authority                            | A | Interest |   |   | Redeemed    | 08/05/15 | J | A |             |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|                                                                            |   |          |   |   |             |          |   |   |  |
|----------------------------------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 35. Johnson & Johnson, Inc., Stock                                         | A | Dividend | K | T |             |          |   |   |  |
| 36. First Niagara Financial Group, LLC (fka New Alliance), Stock           | C | Dividend | L | T | Sold (part) | 09/30/15 | L | C |  |
| 37. Verizon Communications, Stock                                          | A | Dividend | J | T |             |          |   |   |  |
| 38. Prime Money Market Fund (fka Tamarack Investment FDS Prime)            | A | Interest | M | T |             |          |   |   |  |
| 39. Bristol Myer Squibb Co., Stock                                         | A | Dividend | J | T |             |          |   |   |  |
| 40. Intel Corp., Stock                                                     | A | Dividend | J | T |             |          |   |   |  |
| 41. Archer Daniels Midland Co., Stock                                      | A | Dividend | J | T |             |          |   |   |  |
| 42. Milestone Scientific, Inc., Stock                                      | A | Dividend | L | T |             |          |   |   |  |
| 43. Hamden, CT, Property (in LLC)                                          | D | Rent     | M | W |             |          |   |   |  |
| 44. Merck & Co., Inc., Stock                                               | A | Dividend | K | T |             |          |   |   |  |
| 45. Conn ST SPL Tax Obligation R Spl, Bond                                 | B | Interest | K | T |             |          |   |   |  |
| 46. Shanghai OLED New Haven, LLC, Stock                                    | A | Dividend | K | T |             |          |   |   |  |
| 47. J.M. Smucker & Co., Stock                                              | A | Dividend | K | T |             |          |   |   |  |
| 48. Bright Directions Coll Sav. Prog., Ill. Coll. Sav. Pool (non control)  | A | Interest | K | T | Sold (part) | 07/16/15 | K | A |  |
| 49. Bright Directions Coll. Sav. Prog., Ill. Coll. Sav. Pool (non control) | A | Interest | K | T | Sold (part) | 11/25/15 | K | A |  |
| 50. Royal Dutch Shell, PLC                                                 | C | Dividend | K | T | Buy (add'l) | 04/21/15 | K |   |  |
| 51. Statoil ASA                                                            | A | Dividend | J | T |             |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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| 52. Thompson Reuter Corp.                                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. Vodafone Group PLC                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/28/15                | J                               |                                |                                                                   |
| 54. Illinois Tool Works Inc.                                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. Connecticut St. Ser B G/O                                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. Enduro Royalty Trust                                                                                                    | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. Enterprise Products Partners, LP                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. Manning & Napier FDNCW Pro Blend<br>Extended Term Serv. Class A                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. Promissory Note (personal loan secured by<br>mtg. by JBB, LLC)                                                          | A                                       | Distribution                                  |                                                 |                                           | Redeemed                                        | 09/23/15                | L                               | A                              | Redeemed in<br>foreclosure                                        |
| 60. Prudential Premier Retirement B Series<br>Annuity                                                                       | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. CBOE Holdings, Inc.                                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. Manulife Financial Corp..                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. Novartis AG                                                                                                             | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. Connecticut St. For Issues Dated Prior to<br>10/19/10                                                                   | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. Connecticut St SPL Tax Obligation Rev.<br>RFDG Trans Infra Serv                                                         | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. Connecticut St. Ser C G/O Unltd B/E OID                                                                                 | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 06/01/15                | K                               | A                              |                                                                   |
| 67. Connecticut St. Ref Ser D G/O Unltd B/E                                                                                 | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. Consolidated Edison, Inc.                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Citizens Bank                                                                                                           | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. Caterpillar, Inc.                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. Diebold, Inc.                                                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72. Conocophillips                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 73. AT&T                                                                                                                    | B                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 04/21/15                | K                               |                                |                                                                   |
| 74. Realty Income Corp. REIT                                                                                                | B                                       | Interest                                      | K                                               | T                                         | Buy                                             | 04/21/15                | K                               |                                |                                                                   |
| 75. Delek Group LTD, Sponsored ADR                                                                                          | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 07/20/15                | J                               |                                |                                                                   |
| 76. Pentair PLC, SHS                                                                                                        | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 07/20/15                | J                               |                                |                                                                   |
| 77. Veolia                                                                                                                  | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 07/23/15                | J                               |                                |                                                                   |
| 78. West Haven, CT Property (owned by LLC)                                                                                  |                                         | None                                          | M                                               | T                                         | Buy                                             | 09/23/15                | M                               |                                | Redeemed at<br>foreclosure                                        |
| 79. Synchrony                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Spinoff<br>(from line 31)                       | 11/23/15                | J                               |                                |                                                                   |
| 80. SPDR Gold Trust                                                                                                         | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 01/29/15                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

## FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

-Margolis, Joan G.

Date of Report

4/7/2016

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

Bright Directions College Savings Program appears twice, in lines 48 & 49, because there were two distributions last year, for the Fall 2015 semester in July 2015 and for the Spring 2016 semester in November 2015.

There are three Connecticut State bonds with very similar names in lines 55, 66 & 67, whose names have been straightened out -- Ser. B, Ser C, and Ser D.

Upon the death of several elderly relatives, I became the Trustee of philanthropic funds established by my relatives with a local charity. My role with respect to these philanthropic funds is quite limited. As Trustee, my sole responsibility is to make recommendations for distributions to other charities, which recommendations can be followed or ignored by the charitable foundation which administers the funds. This charitable foundation manages millions of dollars of charitable funds (akin to a little version of the United Way), of which my relatives' philanthropic funds are just a small part. I have no knowledge of, or responsibility for, any assets held by this fund; all these decisions are vested solely in the discretion of the charitable foundation. I explained this in a letter to CFD, dated July 30, 2004.

Thank you.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

-Margolis, Joan G.

Date of Report

4/7/2016

## 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/ **Joan G. -Margolis**

**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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