

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) Hayden, Katharine S.	2. Court or Organization US District Court - DNJ	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge - Senior Status	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 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.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
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.)*

<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. 1/16-4/16	Partner, Law Firm - Walder Hayden, Roseland, NJ
2. 5/16-12/16	Partner, Law Firm - Pashman Stein Walder Hayden PC, Hackensack, NJ
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. The American Law Institute - Restatement of the Law, Children and the Law	3/2/16 - 3/3/16	Philadelphia, PA	Committee Meeting	Hotel, Transportation, Meals
2. Committee on Defender Services	6/7/16	Washington, DC	Committee Meeting	Transportation
3. National Association of Drug Court Professionals	5/31/16 - 6/4/16	Anaheim, CA	Attend Conference	Hotel, Transportation, Meals
4. The American Law Institute - Restatement of the Law, Children and the Law	10/26/16 - 10/27/16	Philadelphia, PA	Committee Meeting	Hotel, Transportation

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5.	The China Law Center, Yale Law School	11/21/16 - 11/28/16	Beijing, China	Criminal Procedure Workshop	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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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 (H)									
2. - Arbor Realty Trust Inc. Common Stock	A	Dividend	J	T					
3. - Consolidated Edison Inc. Common Stock	A	Dividend	K	T					
4. - Duke Energy Corp New Common Stock	A	Dividend	J	T					
5. - Enterprise Prods Partners LP Common Stock		None	K	T					
6. - GlaxoSmithKline PLC SP ADR Common Stock	A	Dividend	J	T					
7. - Kimberly Clark Corp. Common Stock	A	Dividend	K	T					
8. - JP Morgan Chase & Co. Common Stock	A	Dividend	K	T	Sold (part)	03/17/16	J	B	
9. - Pfizer Inc. Common Stock	A	Dividend	J	T					
10. - Sasol Ltd., Spons. ADR Common Stock	A	Dividend	J	T					
11. - Walt Disney Co. Common Stock	A	Dividend	K	T					
12. - Aqua America Inc. Common Stock	A	Dividend	K	T					
13. - AT&T Inc. Common Stock	B	Dividend	K	T					
14. - Honeywell Intl Inc. Common Stock	A	Dividend	K	T					
15. - Microsoft Corp Common Stock	A	Dividend	K	T					
16. - Mitsubishi UFJ Financial Group Inc. ADR Common Stock	A	Dividend	J	T					
17. -Procter & Gamble Co. Common Stock	A	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	
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18. - Wal-Mart Stores Inc. Common Stock	A	Dividend	J	T					
19. - CVS Caremark Corp. Common Stock	A	Dividend	J	T					
20. - McDonalds Corp Common Stock	A	Dividend	K	T					
21. - Wells Fargo & Co Common Stock	A	Dividend	J	T					
22. - Bristol Myers Squibb Co. Common Stock	A	Dividend	K	T					
23. - Conagra Foods Inc. Common Stock	A	Dividend	K	T					
24. - Deere & Co. Common Stock	A	Dividend	K	T					
25. - General Electric Co. Common Stock	A	Dividend	K	T					
26. - Kellogg Co. Common Stock	A	Dividend	J	T					
27. - Mondelez Intl Inc. Common Stock	A	Dividend	J	T					
28.	A	Distribution							
29. - National Oilwell Varco Inc. Common Stock	A	Dividend	J	T					
30. - Nustar Energy LP Common Stock		None	K	T					
31. - Parker-Hannifin Corp. Common Stock	A	Dividend	K	T					
32. - Philip Morris Intl Inc. Common Stock	B	Dividend	K	T					
33. - Quanta Services Inc. Common Stock		None	K	T					
34. - Raytheon Company Common Stock	A	Dividend	K	T					

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35. - Florida Citizens Pty Ins Corp Sr Sec Municipal Bond	A	Interest			Redeemed	06/01/16	K		
36. - NJ Edu Facs Auth Rev Rfndg Bonds - Uni of Med/Den of NJ	C	Interest	L	T					
37. - New Jersey ST Edl Facs Auth Rev Rfndg - Kean Univ Bond	B	Interest	K	T					
38. - California St Var Purp Genl Oblig Municipal Bond	B	Interest	K	T					
39. - Boeing Co. Common Stock	B	Dividend	J	T					
40. - New York Community Bancorp Common Stock	A	Dividend	J	T					
41. - Public Service Enterprise Grp Common Stock	A	Dividend	J	T					
42. - Casino Reinvestment Dev Auth NJ Bond	A	Interest	K	T					
43. - NJ Higher Ed Assistant Auth Bond	B	Interest	K	T					
44. - El Du Pont De Nemours & Co Common Stock	A	Dividend	K	T					
45. - Emerson Electric Co Common Stock	A	Dividend	J	T	Buy (add'l)	08/09/16	J		
46. - Nucor Corp Common Stock	A	Dividend	K	T					
47. - Morgan Stanley Bank NA Bank Deposit Program	A	Interest	M	T					
48. - Buckeye Partners LP		None	J	T					
49. - Eaton Corp. PLC SHS Common Stock	A	Distribution	J	T					
50. - MSA Safety Inc. Common Stock	A	Dividend	J	T					
51. - Pentair Plc Common Stock	A	Dividend	J	T					

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52. - Weyerhaeuser Co. Common Stock	A	Distribution	J	T					
53. - Xylem Inc. Common Stock	A	Dividend	K	T					
54. - Apple Inc. Common Stock	A	Dividend	J	T					
55. - BP PLC ADS Common Stock	A	Dividend	J	T					
56. - Hartford Fin Sers Grp Inc Common Stock	A	Dividend	J	T					
57. - Johnson Controls Incorporated Common Stock	A	Dividend							See Note in Part VIII
58. - Timken Co Common Stock	A	Dividend	K	T					
59. - Puerto Rico Elec Pwr Auth Rev Ref Ser-MM Bond	B	Interest	K	T					
60. - Conoco Phillips Common Stock	A	Dividend	J	T					
61. - Exelon Corp. Common Stock	A	Dividend	J	T					
62. - Halliburton Co Common Stock	A	Dividend	J	T					
63. - Halyard Health Inc Common Stock		None	J	T					
64. - Seaworld Entertainment Inc. Common Stock	A	Distribution	J	T					
65. - John Hancock Bk & Thrift Fund	A	Dividend	J	T					
66.	A	Distribution							
67. - Merck & Co Inc Common Stock	A	Dividend	J	T					
68. - Steel Dynamics Inc Common Stock	A	Dividend	K	T					

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69. - Pimco Dyn Credit & Mort Inc Fd (formerly Pimco Dynamic Credit Inc)	A	Dividend	J	T					See Note in Part VIII
70. - Kraft Heinz Co Common Stock	A	Dividend	J	T					
71. - Aerie Pharmaceuticals Inc. Common Stock		None	J	T	Buy	09/14/16	J		
72. - Bank of America Corp. Common Stock	A	Dividend	J	T	Buy	08/01/16	J		
73. - Quotient Ltd Shs Common Stock		None	J	T	Buy	09/14/16	J		
74. - Lamb Weston Hldgs Inc Common Stock		None	J	T	Spinoff (from line 23)	11/09/16	J		See Note in Part VIII
75.					Sold (part)	11/09/16	J		See Note in Part VIII
76. BROKERAGE ACCOUNT #2 (H)									
77. - Morgan Stanley Bank NA	A	Int./Div.	K	T					
78. IRA/401K ACCOUNTS (H)									
79. - IRA Morgan Stanley Bank NA	A	Interest			Closed	06/13/16	K		See Note in Part VIII
80. - IRA Smith Barney Money Funds Class A	C	Int./Div.			Closed	06/13/16	N		See Note in Part VIII
81. - Morgan Stanley Bank NA Cash Account	A	Interest	M	T					
82. - Morgan Stanley Private Bank NA Cash Account	A	Interest	L	T					
83. - Altria Group Inc. Common Stock		None	J	T	Buy	08/18/16	J		
84.					Buy (add'l)	12/21/16	J		
85. - Bank of America Corp Common Stock		None	J	T	Buy	12/19/16	J		

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86. - Bank of New York Mellon Corp Common Stock		None	J	T	Buy	08/17/16	J		
87.					Buy (add'l)	12/29/16	J		
88. - BB&T Corp Common Stock		None	J	T	Buy	08/17/16	J		
89. - Celgene Corp Common Stock		None	J	T	Buy	12/19/16	J		
90.					Buy (add'l)	12/27/16	J		
91.					Buy (add'l)	12/29/16	J		
92. - Cisco Sys Inc Common Stock		None	J	T	Buy	08/18/16	J		
93.					Buy (add'l)	08/31/16	J		
94.					Buy (add'l)	12/07/16	J		
95. - Cubesmart Common Stock		None	J	T	Buy	12/27/16	J		
96. - Diebold NXFD Inc Common Stock	A	Dividend	J	T	Buy	09/27/16	J		
97.					Buy (add'l)	11/22/16	J		
98.					Buy (add'l)	12/21/16	J		
99.					Buy (add'l)	12/29/16	J		
100. - Dow Chemical Co Common Stock		None	J	T	Buy	12/06/16	J		
101. - Emerson Electric Co Common Stock		None	J	T	Buy	08/17/16	J		
102. - Endurance Specialty Hldgs Ltd Common Stock	A	Dividend	J	T	Buy	08/11/16	J		

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103. - General Electric Co Common Stock		None	J	T	Buy	08/17/16	J		
104.					Buy (add'l)	10/31/16	J		
105. - Hollyfrontier Corp Common Stock		None	J	T	Buy	12/06/16	J		
106. - Kinder Morgan Incorp Common Stock		None	J	T	Buy	11/21/16	J		
107. - Marathon Petroleum Corp Common Stock		None	J	T	Buy	12/06/16	J		
108. - Merck & Co Inc Common Stock		None	J	T	Buy	12/21/16	J		
109.					Buy (add'l)	12/27/16	J		
110. - Metlife Incorporated Common Stock		None	J	T	Buy	09/06/16	J		
111. - Novo Nordisk A.S ADR Common Stock		None	J	T	Buy	08/31/16	J		
112. - Old Republic Intl CP Common Stock		None	J	T	Buy	12/06/16	J		
113. - Paypal Hldgs Inc Common Stock		None	J	T	Buy	12/21/16	J		
114. - Pfizer Inc Common Stock		None	J	T	Buy	08/12/16	J		
115.					Buy (add'l)	12/02/16	J		
116. - Qualcomm Inc Common Stock	A	Dividend	J	T	Buy	08/31/16	J		
117. - Teva Pharmaceuticals ADR Common Stock	A	Distribution	J	T	Buy	09/13/16	J		
118. - Toronto Dom Bk New Common Stock		None	J	T	Buy	12/27/16	J		
119. - US Bancorp New Common Stock		None	J	T	Buy	09/01/16	J		

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 \$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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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)
120. - Unilever PLC Common Stock		None	J	T	Buy	08/11/16	J		
121. - Wells Fargo & Co New Common Stock		None	J	T	Buy	08/11/16	J		
122. - Weyerhaeuser Co Common Stock		None	J	T	Buy	10/31/16	J		
123. - T Rowe Price Sm Cap Val Adv Fund		None	L	T	Buy	12/29/16	L		
124.									
125.									

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

Part VII, Line 57 - Dividend for holders of Johnson Controls Inc common stock paid on 1/5/2016 after sale of holdings on 12/15/2015.

Part VII, Line 69 - Pimco Dyn Credit & Mort. Inc. Fd inadvertently listed as Pimco Dynamic Credit Inc. common stock.

Part VII, Line 74 - Due to a spinoff, for every three shares of Conagra Foods Inc. common stock, holder was issued one share of Lamb Weston Holdings Inc. common stock on 11/9/2016.

Part VII, Line 75 - Sale of fractional shares resulting from spinoff (see line 74)

Part VII, Lines 79 and 80 - Two (2) accounts held under 401K Plan controlled by a third party for which filer had no control over the selection of assets were rolled over and consolidated into one (1) IRA in November 2016. Assets therein have been independently managed as of June 2016. Individual holdings held in current IRA are listed at lines 81 through 123.

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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