

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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, JANET C.	2. Court or Organization U.S. District Court (D.CT)	3. Date of Report 05/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. District Court 141 Church Street New Haven, CT 06510		
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. Director	Connecticut Bar Foundation
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2012	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. National Center for State Courts	1/30/2012-1/31/2012	Washington, DC	Panel Participant at Winter Conference	Travel, hotel and meals
2. New York Intellectual Property Law Association	3/23/2012-3/24/2012	New York, NY	Attend Event in Honor of Judiciary	Hotel and meals
3. Northwestern University School of Law	4/19/2012-4/20/2012	Chicago, IL	Participate in Clerkship Conference	Travel, hotel and meals
4. Federal Bar Council	11/21/2012	New York, NY	Judiciary Thanksgiving Luncheon	Meal
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.	Robert Anello	Tickets to attend U.S. Open	\$500.00
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.	U.S. Dept. Education/Sallie Mae	Student Loan	L
2.	Citizens Bank	Line of Credit	M
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. State of Israel Bond - Exp. 1/01/13	B	Interest	K	T					
2. Templeton Dragon Fund	A	Dividend	K	T					
3. Templeton Global Small Cos Growth Fund	A	Dividend	J	T					
4. Mutual Quest Fund	D	Dividend	M	T					
5. Strips-tprr Prnt on 10.625 2015 T/ Bond-8/15/2015	A	Interest	J	T					
6. Strips Tint-US Treasury Mat. 11/15/20	A	Interest	K	T					
7. Vanguard Windsor II Fund	B	Dividend	M	T					
8. Mutual Discovery Fund CL2	C	Dividend	K	T					
9. P.C. (Note)		None	M	W					
10. Partnership Interest in Whitney-Humphrey Asse. (Note)	C	Distribution	L	W					
11. U.S. Savings Bonds	A	Interest	J	T					
12. MetLife Ins. Co. of CT (universal life)	A	Interest	K	T					
13. AXA Equitable Life Ins. Co. (life policy)	B	Interest	K	T					
14. Columbia Value Rest. Fund	A	Dividend			Sold	9/17/12	J	A	
15. Schwab US Treas Money Fund	A	Interest	L	T					
16. Sound Shore Fund	B	Dividend	M	T					
17. Thornburg Value Fund CL.A		None			Sold	7/24/12	L	A	

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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18. Westport Select Cap.CL.R	F	Dividend	N	T	Sold (part)	9/17/12	J	A	
19. Schwab Value Advantage Money Fund	A	Dividend	J	T					
20. Citizens Bank	A	Interest	L	T					
21. AMR Corp.		None	J	T					
22. Artisan Int'l Small Cap	B	Dividend	M	T					
23. Calamos Growth Fund - A	D	Dividend	M	T					
24. Third Ave. Real Est. Value Fund	B	Dividend	J	T					
25. Third Ave. International Value Fund	A	Dividend	K	T					
26. Buffalo Sm. Cap Fund	A	Dividend	J	T	Sold (part)	9/17/12	J	A	
27. T. Rowe Price MidCap Growth	A	Dividend	K	T					
28. T. Rowe Price Cap.App.Fund	F	Dividend	N	T	Sold (part)	7/25/12	K	C	
29. Marsico Growth Fund	D	Dividend	M	T					
30. iShare MSCI Canada Index Fund	A	Dividend	J	T					
31. Fidelity Cash Acct.	A	Interest	J	T					
32. Schwab Bank	A	Interest	J	T					
33. Davis NT Venture Fd - A	D	Dividend	M	T					
34. Artisan Mid-Cap Value FD	D	Dividend	M	T					

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35. Dodge & Cox Int'l. Stock	B	Dividend	L	T					
36. Vanguard Strategic Equity	A	Dividend	J	T					
37. Wells Fargo Advantage Value Fund	C	Dividend	M	T					
38. Storage Inn Ltd.		None	L	W					
39. Arcadia Wind Farms Energies Ltd		None	L	W					
40. Limited Partner, Cummings Drive Family L.P.	C	Dividend	L	T					
41. iShares INC MSCI EMU Index Fund	A	Dividend	J	T	Buy (add'l)	9/21/12	J		
42. Plug Power Inc.		None	J	T					
43. T. Rowe Price Group A	A	Dividend	J	T					
44. Buffalo Mid-Cap		None			Sold	9/17/12	J	A	
45. Pax World Balance Fund	A	Dividend			Sold	9/17/12	J		
46. Marisco Focus Fund	D	Dividend	L	T					
47. Fairholme Fund		None	L	T					
48. Intrepid Small Cap Fund	C	Dividend	K	T					
49. Schwab S&P 500 Index Fund	A	Dividend	K	T	Buy (add'l)	9/25/12	J		
50. Schwab ETFS - US Large Cap ETF	A	Dividend	J	T					
51. Petrobank Energy & Res LTDF		None	J	T					

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52. iShares TR Russell 3000	D	Dividend	N	T					
53. Schwab Total Stock Market	A	Dividend	K	T					
54. Philips 66 (Note)	A	Dividend	K	T	Sold (part)	10/1/12	K	D	
55. Greenspring Fund	B	Dividend	K	T					
56. Nicholas II Fund	C	Dividend	K	T					
57. Nicholas Ltd Edition Fund	C	Dividend	K	T					
58. Vanguard Russell 2000 Growth Index Fund	A	Dividend	J	T					
59. Vanguard Russell 2000 Value Index Fund	A	Dividend	J	T					
60. Vanguard REIT ETF	A	Dividend	J	T					
61. Vanguard Russell 3000 Index Fund	A	Dividend	J	T					
62. Vanguard Emerging Markets	A	Dividend	K	T					
63. SPDR S&P Emerging Asia	A	Dividend			Sold	10/1/12	J		
64. CMG Focus Fund		None	K	T	Sold (part)	10/1/12	J		
65. CMG Realty Fund	A	Dividend	K	T					
66. Schwab Advantage Cash Reserve Premium	A	Dividend	J	T					
67. Royce Value Fund	D	Dividend	L	T					
68. TR Price Growth Fund	A	Dividend	M	T					

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69. Vanguard Small Cap Fund	A	Dividend	J	T					
70. Thornberg Int'l Value Fund	A	Dividend	L	T					
71. Vanguard Wellesley Fund	A	Dividend	J	T					
72. Vanguard GNMA Fund	A	Dividend	J	T					
73. Oakmark Fund	C	Dividend	L	T	Sold (part)	7/24/12	L	C	
74. Petrominerals Ltd. (Note)	A	Dividend	J	T					
75. iShares TR Russell 1000 Growth Index Fund	A	Dividend	J	T	Buy	9/24/12	J		
76.					Buy (add'l)	10/17/12	K		
77. iShares TR Russell 2000 Growth Index Fund	A	Dividend	J	T	Buy	9/17/12	J		
78. Schwab US MidCap ETF	A	Dividend	J	T	Buy	9/17/12	J		
79.					Buy (add'l)	9/24/12	J		
80.					Buy (add'l)	10/17/12	K		

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

Part VII:

Line 5: (2011 Year End Report) Chartlinks: This company reported in calendar year 2012 that it is no longer in business. No value was distributed to shareholders.

Line 9: Passive income from sub-chapter S corporation.

Line 10: The value was based on a 2012 appraisal, but is higher than the appraised value.

Line 36: (2011 Year End Report) Bank of America: No longer need to report this item.

Line 54: Name change/spin off. Conoco Phillips was sold on 10/1/2012. Phillips 66 remained as the holding.

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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/ JANET C. 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544