

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/14/2018
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 01/01/2017 to 12/31/2017
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

05/14/2018

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. 2017	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. [REDACTED], P.C.	2/16/17-2/24/17	Dominican Republic	Attend Annual Federal Bar Council Bench-Bar Conference	Transportation, Meals and Lodging
2. Federal Bar Council	5/9/2017	New York, New York	Attend Law Day Dinner	Meal
3. Federal Bar Council	11/22/2017	New York, New York	Attend annual Thanksgiving Luncheon in honor of judiciary	Meal
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

05/14/2018

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

05/14/2018

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. Templeton Dragon Fund	A	Dividend	J	T					
2. Mutual Quest Fund (Note)	E	Dividend	N	T					
3. Strips Tint-US Treasury Mat. 11/15/20	A	Interest	K	T					
4. Vanguard Windsor II Fund	B	Dividend	L	T	Donated (part)				
5. Mutual Discovery Fund CL2	C	Dividend	L	T					
6. [REDACTED] P.C. (Note)		None	M	W					
7. Partnership Interest in Whitney-Humphrey Assoc. (Note)		None	L	W					
8. U.S. Savings Bonds	A	Interest	J	T					
9. AXA Equitable Life Ins. Co. (Flexible Premium Universal Life Policy)	B	Interest	K	T					
10. Schwab US Treas Money Fund	A	Interest	K	T	Buy (add'l)	03/09/17	K		
11.					Buy (add'l)	04/19/17	J		
12.					Sold (part)	05/03/17	L		
13.					Buy (add'l)	12/21/17	K		
14. Sound Shore Fund	C	Dividend	N	T					
15. Hennessey Cornerstone Mid		None	M	T					
16. Citizens Bank	A	Interest	K	T					
17. Artisan Int'l Small Cap Investor		None	N	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 ~\$250,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

05/14/2018

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. Third Ave. Real Est. Value Fund	A	Dividend	K	T					
19. Third Ave. International Value Fund	A	Dividend	K	T					
20. T. Rowe Price Cap. Appreciation Fund	D	Dividend	O	T	Buy (add'l)	04/10/17	K		
21.					Donated (part)				
22.					Donated (part)				
23. iShare MSCI Canada Index Fund	A	Dividend	J	T					
24. Fidelity Cash Acct.	A	Interest	J	T					
25. Schwab Bank	A	Interest	O	T	Buy (add'l)	03/20/17	M		
26.					Buy (add'l)	04/03/17	N		
27. Artisan Mid-Cap Value FD	A	Dividend	N	T	Sold (part)	04/03/17	K	D	
28. Dodge & Cox Int'l. Stock	C	Dividend	N	T					
29. Storage Inn Ltd.		None	N	W					
30. Arcadia Wind Farms Energies Ltd		None	L	W					
31. T. Rowe Price Group A	A	Dividend	J	T					
32. Marsico Focus Fund	A	Dividend	K	T	Sold (part)	04/03/17	K	C	
33. Fairholme Fund	B	Dividend	M	T					
34. Intrepid Endurance	A	Dividend	K	T	Sold (part)	04/03/17	K	B	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

05/14/2018

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)

35. Schwab S&P 500 Index Fund	A	Dividend	K	T	Sold (part)	04/03/17	K	D	
36. Schwab US Large Cap ETF	A	Dividend			Sold	04/03/17	J	A	
37. iShares Russell 3000	B	Dividend	M	T	Sold (part)	04/03/17	N	G	
38. Schwab Total Stock Market	A	Dividend	L	T	Sold (part)	04/03/17	L	E	
39. Philips 66	A	Dividend			Sold	03/20/17	K	E	
40. Greenspring Fund		None			Sold	03/20/17	J	A	
41. Nicholas II Fund	A	Dividend	K	T	Sold (part)	04/03/17	K	D	
42. Nicholas Ltd Edition Fund	C	Dividend	K	T	Sold (part)	03/20/17	K		
43. Vanguard Scottsdale FDS Vanguard (VTWV)	A	Dividend	K	T					
44. Vanguard Scottsdale FDS Vanguard Russell (VTWG)	A	Dividend	K	T					
45. Vanguard Index FDS Vanguard REIT (VNQ)	A	Dividend	J	T					
46. Vanguard Russell 3000 Index Fund (VTHR)	A	Dividend	K	T					
47. Vanguard FTSE Emerging Markets	A	Dividend	J	T	Sold (part)	04/03/17	J		
48. CMG Focus Fund		None	L	T					
49. CMG Realty Fund	A	Dividend	K	T					
50. Schwab Adv. Cash Reserve Prem.		None	J	T	Sold (part)	05/02/17	K		
51. Royce Value Fund	A	Dividend	M	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

05/14/2018

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)
52. TR Price Growth Fund	A	Dividend	M	T	Sold (part)	05/01/17	K	E	
53. Vanguard Small Cap Fund	A	Dividend	K	T	Sold (part)	04/03/17	K	C	
54. Thornberg Int'l Value Fund		None	M	T					
55. Oakmark Fund	B	Dividend	N	T	Donated (part)				
56. iShares (IWF) Russell 1000 Growth Index Fund	A	Dividend	K	T	Sold (part)	04/03/17	K	D	
57. Schwab US MC (SCHM)	A	Dividend	K	T	Sold (part)	04/03/17	K	D	
58. Vanguard Total Stock Market	A	Dividend	J	T					
59. Harbor Cap Appreciation	E	Dividend	N	T					
60. Alphabet Inc.		None	K	T					
61. Microsoft Corp.	A	Dividend			Sold	04/03/17	K	D	
62. Nicholas Fund	A	Dividend			Sold	03/20/17	K		
63. Vanguard Mid Cap	A	Dividend	K	T	Sold (part)	04/03/17	K	B	
64. SunAmerica Focused Div. Strategy	D	Dividend	N	T					
65. Harbor International Inv.		None	K	T					
66. Glenmed. Small Cap. Equity	A	Dividend	K	T					
67. Vanguard Admiral S&P 500 Value	A	Dividend	J	T					
68. Vanguard Value Index (VIVAX)	A	Dividend	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

05/14/2018

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)
69. Amazon		None	L	T	Buy	10/31/17	K		
70.					Buy (add'l)	12/12/17	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

05/14/2018

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

Part VII:

Line 2: Renamed fund. Previously known as Franklin Mutual Quest Fund.

Line 6: Passive income from sub-chapter S corporation

Line 7: The value was based on a 2012 appraisal, but is higher than the appraised value.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

05/14/2018

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