

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) BURNS, ELLEN B.	2. Court or Organization U.S. DISTRICT COURT, CT	3. Date of Report 10/23/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address UNITED STATES COURTHOUSE 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. Trustee Emerita	Albertus Magnus College
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. 2013	State of Connecticut pension	\$68,953.44
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.	
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.				
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. Webster Bank	B	Interest	N	T					
2. Merrill Lynch money market account	A	Interest	K	T					
3. Verizon	B	Dividend	K	T					
4. AT&T stock	C	Dividend	L	T					
5. Van Kampen Fund Amer Cap (Y)		None							
6. U.S. Series E Bonds		None	L	T					
7. Nuveen Conn. Premium Inc. Municipal Fund	A	Interest	K	T					
8. Dreyfus Conn. Municipal money market Fund	A	Interest	K	T					
9. Nuveen Large Cap Value Fund A	C	Dividend			Redeemed	12/12/13	J	B	
10. Ridgefield CT LOT A Bond		None			Redeemed	03/01/13	J		
11. Univ. CT Series A Bond	B	Interest	K	T					
12. Eli Lilly stock		None			Sold	07/23/13	J		
13. Sprint Nextel Communication stock Y		None	J	T					
14. Dreyfus Short Int. Govt. Fund	A	Dividend	J	T					
15. IBM stock	A	Dividend	K	T					
16. Alcatel Lucent Y		None	J	T					
17. Mattel, Inc. stock Y		None	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 = \$250,000,001 - \$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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18. Pfizer, Inc. stock Y		None	J	T					
19. Sara Lee Corp. stock Y		None	J	T					
20. Vodafone Air Touch stock	A	Dividend	J	T					
21. Conn. State Series F Bond	A	Interest	K	T					
22. CT HEFA Rev. Fairfield Bond	A	Interest	J	T					
23. So. Central Conn. Regional Water Authority Bond		None			Redeemed	06/13/13	J	B	
24. United Illuminating Holdings Corp.	A	Dividend	J	T					
25. Hartford Financial Services Y		None	J	T					
26. Conn. ST Series B Bond	A	Interest	J	T					
27. Kraft Foods stock	A	Dividend	J	T					
28. Novartis Ag. Spon ADR	A	Dividend	K	T					
29. Bank of America	C	Interest	L	T					
30. AIG America Classic V annuity	A	Interest	K	T					
31. Comcast Corp. stock		None	J	T					
32. Conn. State Series D Bond	B	Interest	K	T					
33. Conn. State Series D Bond	A	Interest	J	T					
34. Conn. State Housing Finance Bond	A	Interest	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. John Hancock Tax ADVATG Fund	A	Dividend			Sold	12/18/13	J		
36. MFS International New Discovery FD		None			Sold	12/18/13	L		
37. Procter & Gamble stock	A	Dividend	K	T					
38. Torrington Conn. Bond	A	Interest	K	T					
39. Seymour Conn. Bond	A	Interest	J	T					
40. Glastonbury Conn. Bond	A	Interest	K	T					
41. Embarq Corp.Y		None	J	T					
42. LSI Corp.Y		None	J	T					
43. Conn. ST.Health Bond	A	Interest	K	T					
44. Conn. ST. OID SER C	B	Interest	K	T					
45. Dreyfus Pem. State Mun. Bond FD CT Ser CLA	A	Interest	J	T					
46. Trumbull CT Bond	A	Interest	J	T					
47. Black Rock Global Fund	B	Interest	M	T					
48. Time Warner Y		None	J	T					
49. Frontier Communications Y		None	J	T					
50. Peoples United Financial, Inc.	C	Dividend	J	T					
51. JP Morgan Bond Fund	C	Dividend			Sold	12/23/13	M		

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52. Liberty Bank Y		None	J	T					
53. Guggenheim Fund 1095	E	Dividend	N	T	Buy	12/23/13	N		
54. Guggenheim Fund 1017	C	Dividend			Buy	03/07/13	N		
55.					Sold	10/22/13	N	D	

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

VII. Investments and Trusts

People's Bank reported in 2012 on line 37 is omitted because it was an inadvertent duplicate listing of Peoples United Financial reported on line 49

Conn St Housing Finance Bond reported in 2012 on line 9 is omitted because it was an inadvertent duplicate entry of security listed on line 34

Conn St SPL Obl Bond reported on line 28 in 2012 has been omitted from 2013 report because the security was redeemed in 2011, but that transaction was inadvertently not disclosed on 2011 report and inadvertently reported as an asset on 2012 report.

It should have been reported on 2011 reports as follows:

Conn St SPL Obl Bond none Redeemed 10/03/11 K A

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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/ ELLEN B. BURNS**

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