

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 5/03/2019
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 01/01/2018 to 12/31/2018
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

	<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.)*

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. 2018	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.	2/12/2018-2/16/2018	St. Kitts, Nevis	Federal Bar Council Bench-Bar Conference	Transportation, Meals and Lodging
2. NYU Public Interest Law Center	2/23/2018-2/25/2018	Long Island, New York	Int'l Human Rights and Humanitarian Law Seminar	Meals and Lodging
3. Federal Bar Council	5/2/2018	New York, New York	Federal Bar Council Annual Law Day Dinner	Meal
4. New York Intellectual Property Law Association	3/23/2018	New York, New York	Dinner in Honor of Federal Judiciary	Meal
5. Federal Bar Council	11/21/2018	New York, New York	Thanksgiving Luncheon in Honor of Judiciary	Meal

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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 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	B	Dividend	K	T					
2. Franklin Mutual Quest Fund	E	Dividend	N	T					
3. Strips Tint-US Treasury Mat. 11/15/20	A	Interest	K	T					
4. Vanguard Windsor II Fund	C	Dividend	K	T	Sold (part)	06/27/18	K	B	
5.					Donated (part)				
6. Mutual Discovery Fund CL2	C	Dividend	L	T					
7. [REDACTED] P.C. (Note)		None	M	W					
8. Partnership Interest in Whitney-Humphrey Asse. (Note)		None	L	W					
9. U.S. Savings Bonds	A	Interest	J	T					
10. AXA Equitable Life Ins. Co. (Flexible Premium Universal Life Policy)	B	Interest	K	T					
11. Schwab US Treas Money Fund	A	Interest	M	T	Sold (part)	01/25/18	K		
12.					Buy (add'l)	04/13/18	K		
13.					Buy (add'l)	05/03/18	J		
14.					Sold (part)	07/12/18	L		
15.					Sold (part)	12/07/18	K		
16.					Sold (part)	12/26/18	K		
17.					Buy (add'l)	12/26/18	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 H = \$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. Sound Shore Fund	E	Dividend	N	T	Buy (add'l)	01/05/18	K		
19. Hennessey Cornerstone Mid	E	Dividend	M	T	Sold (part)	11/29/18	M		
20. Citizens Bank	A	Interest	M	T					
21. Artisan Int'l Small Cap Investor	F	Dividend	M	T					
22. Third Ave. Real Est. Value Fund	C	Dividend	K	T					
23. Third Ave. International Value Fund	B	Dividend	K	T					
24. T. Rowe Price Cap. Appreciation Fund	E	Dividend	O	T	Sold (part)	01/24/18	K	C	
25.					Buy (add'l)	05/10/18	J		
26.					Sold (part)	06/22/18	K	C	
27.					Sold (part)	11/07/18	K	D	
28. iShare MSCI Canada Index Fund	A	Dividend	J	T					
29. Fidelity Cash Acct.	A	Interest	J	T					
30. Schwab Bank	B	Interest	O	T					
31. Artisan Mid-Cap Value FD	E	Dividend	N	T	Sold (part)	06/01/18	J	A	
32.					Sold (part)	06/27/18	L	D	
33.					Sold (part)	10/16/18	K	B	
34. Dodge & Cox Int'l. Stock	D	Dividend	N	T	Buy (add'l)	01/05/18	L		

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

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35.					Sold (part)	11/21/18	J	B	
36. Storage Inn Ltd.	D	Dividend	N	W					
37. Arcadia Wind Farms Energies Ltd		None	L	W					
38. T. Rowe Price Group A	A	Dividend	J	T					
39. Marsico Focus Fund		None			Sold (part)	02/05/18	K	C	
40.					Sold	09/04/18	K	D	
41. Fairholme Fund		None			Sold	01/05/18	M	A	
42. Intrepid Endurance	A	Dividend	K	T					
43. Schwab S&P 500 Index Fund	B	Dividend	K	T	Buy (add'l)	01/08/18	L		
44.					Sold (part)	06/27/18	L	D	
45.					Sold (part)	10/15/18	K	C	
46. iShares Russell 3000	A	Dividend	L	T	Buy (add'l)	01/08/18	M		
47.					Sold (part)	02/05/18	L	E	
48.					Sold (part)	10/15/18	K	A	
49. Schwab Total Stock Market	A	Dividend	L	T	Buy (add'l)	01/08/18	J		
50.					Buy (add'l)	01/16/18	L		
51.					Sold (part)	02/05/18	L	D	

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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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52.					Sold (part)	10/15/18	K	B	
53. Nicholas II Fund	C	Dividend	K	T					
54. Nicholas Ltd Edition Fund	C	Dividend	K	T					
55. Vanguard Scottsdale FDS Vanguard (VTWV)	A	Dividend	K	T					
56. Vanguard Scottsdale FDS Vanguard Russell (VTWG)	A	Dividend	K	T					
57. Vanguard Index FDS Vanguard REIT (VNQ)	A	Dividend	J	T					
58. Vanguard Russell 3000 Index Fund (VTHR)	A	Dividend	K	T					
59. Vanguard FTSE Emerging Markets	A	Dividend			Sold	09/04/18	J		
60. CMG Focus Fund		None			Sold	06/21/18	L	E	
61. CMG Realty Fund	A	Dividend			Sold (part)	02/05/18	J	A	
62.					Sold	09/04/18	J		
63. Schwab Adv. Cash Reserve Prem.	A	Dividend	J	T	Sold (part)	07/12/18	N		
64.					Sold (part)	10/22/18	K		
65.					Sold (part)	11/07/18	L		
66.					Sold (part)	11/08/18	K		
67.					Sold (part)	11/23/18	K		
68. Royce Value Fund	D	Dividend	L	T	Sold (part)	10/16/18	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
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69.					Sold (part)	11/07/18	K	C	
70.					Sold (part)	11/21/18	J		
71. TR Price Growth Fund	D	Dividend	M	T	Sold (part)	07/02/18	K	D	
72.					Sold (part)	07/05/18	K	E	
73.					Sold (part)	10/24/18	K	E	
74.					Sold (part)	11/21/18	J	D	
75. Vanguard Small Cap Fund	A	Dividend	K	T					
76. Thornberg Int'l Value Fund		None			Sold (part)	07/02/18	K		
77.					Sold	07/05/18	L		
78. Oakmark Fund	E	Dividend	N	T	Sold (part)	07/02/18	K	D	
79.					Sold (part)	10/30/18	K	D	
80.					Sold (part)	11/21/18	J	D	
81.					Donated (part)				
82. iShares (IWF) Russell 1000 Growth Index Fund	A	Dividend	K	T					
83. Schwab US MC (SCHM)	A	Dividend	K	T	Sold (part)	10/15/18	K	D	
84. Vanguard Total Stock Market	A	Dividend	J	T					
85. Harbor Cap Appreciation	E	Dividend	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
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86. Alphabet Inc.		None	K	T					
87. Vanguard Mid Cap (VMVIX)	A	Dividend	K	T	Buy (add'l)	01/08/18	J		
88.					Buy (add'l)	01/16/18	L		
89.					Sold (part)	02/05/18	L		
90.					Sold (part)	10/15/18	K	A	
91. AIG Focused Div. Strategy (Note)	D	Dividend	N	T					
92. Glenmed. Small Cap. Equity	C	Dividend	K	T					
93. Vanguard Admiral S&P 500 Value (Voor)	A	Dividend	J	T					
94. Vanguard Value Index (VIVAX)	A	Dividend	J	T					
95. Amazon		None	M	T	Buy (add'l)	08/24/18	L		
96.					Buy (add'l)	09/04/18	L		
97.					Sold (part)	10/15/18	L	E	
98.					Sold (part)	11/27/18	K	D	
99. Apple	A	Dividend	J	T	Buy	09/04/18	K		
100.					Sold (part)	10/15/18	J		
101.					Sold (part)	11/07/18	J		

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

Part VII:

Line 7: Passive income from sub-chapter S corporation

Line 8: The value was based on a 2012 appraisal, but is higher than the appraised value.

Line 67 (2017 CY Report) This asset was sold in its entirety in November 2016 but was not reflected as a total sale on my 2017 report (it was reflected as a partial sale). I confused this asset with another holding (Harbor Cap Appreciation/Line 60) on my 2017 report. The values reported for the sale of Harbor International Investment on my 2017 report are accurate but was inadvertently reported as a partial sale. It was a total sale.

Line 91: Name change from Sun America AIG Focused Div. Strategy to AIG Focused Div. Strategy.

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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