

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 5/7/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address U.S. District Court 915 Lafayette Blvd. Bridgeport, CT 06604	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

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. _____	_____
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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Hall, Janet C.

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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. 2009	Self-employed lawyer
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Bar Council	4/30	New York, New York	FBC Law Day Event	Dinner
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.)*

<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. U.S. Dept. Education	Student Loan	L
2. Citizens Bank	Line of Credit	M
3. Citizens Bank	Student Loan	L
4. Sallie Mae	Student Loan	K
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 Fd C1 I Mutual Fund	A	Dividend	J	T					
4. Mutual Quest Fund (Note)	C	Dividend	M	T					
5. Chartlinks, L.P.		None	J	W					
6. Strips-tpmpmt on 10.625 2015 T/Bond-8/15/2015	A	Interest	J	T					
7. Strips Tint-US Treasury Mat. 11/15/20	A	Interest	J	T					
8. Vanguard Windsor II Fund	B	Dividend	M	T	Buy	06/12/09	J		
9.					Buy (add'l)	11/6/09	K		
10. Mutual Discovery Fund CL2	A	Dividend	K	T					
11. [REDACTED] P.C. (Note)		None	M	W					
12. Partnership Interest in Whitney-Humphrey Asse. (Note)	A	Distribution	L	W					
13. U.S. Savings Bonds	A	Interest	J	T					
14. MetLife Ins. Co. of CT (universal life)(Note)	B	Interest	K	T					
15. AXA Equitable Life Ins. Co. (life policy) (Note)	C	Interest	L	T					
16. Columbia Value Rest. Fund	A	Dividend	J	T	Sold (part)	03/3/09	L		
17. Royce Total Return Fund		None			Sold	03/3/09	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
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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☐ 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. Schwab US Treas Money Fund	A	Interest	K	T	Sold (part)	09/30/09	K		
19. Sound Shore Fund	A	Dividend	M	T	Buy	09/11/09	J		
20. Thornburg Value Fund CL.A	A	Dividend	M	T	Buy	06/12/09	J		
21.					Buy	6/22/09	J		
22. Westport Select Cap.CL.R	C	Dividend	N	T	Buy	5/12/09	K		
23.					Buy	6/12/09	J		
24.					Buy	6/22/09	J		
25.					Buy	9/11/09	J		
26. Schwab Value Advantage Money Fund	A	Dividend	J	T	Sold (part)	5/11/09	K		
27.					Buy	5/11/09	L		
28.					Sold (part)	5/12/09	M		
29.					Sold (part)	5/20/09	L		
30.					Sold (part)	5/22/09	M		
31.					Buy	06/02/09	L		
32.					Sold (part)	6/4/09	K		
33.					Sold (part)	08/26/09	L		
34.					Sold (part)	11/06/09	K		

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35. Oakmark Select Fund		None			Sold	3/3/09	J		
36. Wells Fargo Adv S/C Value Z		None			Sold	03/03/09	K		
37. Citizens Bank	A	Interest	L	T					
38. Muhlenkamp Fund	A	Dividend	L	T					
39. AMR Corp.		None	J	T					
40. Artisan Int'l Small Cap	B	Dividend	M	T					
41. Calamos Growth Fund - A		None	M	T	Sold (part)	3/3/09	K		
42.					Buy	11/06/09	K		
43. Third Ave. Real Est. Value Fund	A	Dividend	J	T					
44. Third Ave. International Value Fund	A	Dividend	K	T					
45. Buffalo Sm. Cap Fund	A	Dividend	J	T	Sold (part)	3/3/09	K		
46. T. Rowe Price MidCap Growth	A	Dividend	J	T					
47. T. Rowe Price Cap. App. Fund	C	Dividend	M	T					
48. Marsico Growth Fund	A	Dividend	M	T					
49. iShare MSCI Canada Index Fund (Note)	A	Dividend	K	T	Sold (part)	03/03/09	J		
50. Fidelity Cash Acct.	A	Interest	L	T					
51. Bank of America	A	Interest	J	T					

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3. Value Method Codes (See Column C2)					

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52. Vanguard Int'l. Growth Fund		None			Sold	03/03/09	K		
53. Schwab Bank	A	Interest	J	T					
54. Davis NT Venture Fd - A	A	Dividend	M	T	Buy	9/11/09	J		
55. Artisan Mid-Cap Value FD	B	Dividend	M	T	Buy	06/01/09	K		
56.					Buy	6/12/09	K		
57. Dodge & Cox Int'l. Stock	A	Dividend	M	T					
58. Vanguard Strategic Equity	A	Dividend	J	T					
59. Wells Fargo Adv. Small/Mid-Cap Value Fund	A	Dividend	M	T					
60. Storage Inn Ltd.		None	L	W					
61. Arcadia Wind Farms Energies Ltd		None	L	W					
62. Limited Partner, Cummings Drive Family L.P.	B	Dividend	L	T					
63. Marisco International		None			Sold	3/3/09	K		
64. Marisco International	A	Dividend	L	T	Buy	6/3/09	K		
65. iShares INC MSCI EMU Index Fund		None	J	T					
66. Plug Power Inc.		None	J	T					
67. T. Rowe Price Group A	A	Dividend	J	T					
68. Buffalo Mid-Cap		None	J	T					

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69. Pax World Balance Fund	A	Dividend	J	T					
70. BlackRock Global		None			Sold	03/03/09	K		
71. Morgan Stanley Bank CD	B	Interest			Redeemed	05/28/09	L		
72. Marisco Focus Fund	A	Dividend	L	T	Buy	6/3/09	K		
73. Fairholme Fund	A	Dividend	J	T	Buy	06/05/09	J		
74. Intrepid Small Cap Fund	D	Dividend	L	T	Buy	5/8/09	K		
75.					Buy (add'l)	06/01/09	K		
76. Matthews Asia Pacific	A	Dividend	L	T	Buy	8/26/09	K		
77. Schwab S&P 500 Index Fund	B	Dividend	L	T	Buy	5/8/09	L		
78. Schwab EFTS Int'l Equity ETF	A	Dividend	K	T	Buy	11/6/09	K		
79. Schwab EFTS - US Large Cap ETF	A	Dividend	K	T	Buy	11/6/09	K		
80. Petrobank Energy & Res LTDF		None	K	T	Buy	11/10/09	K		
81. iShares TR Russell 3000	B	Dividend	M	T	Buy	5/20/09	J		
82.					Buy	07/21/09	L		
83.					Buy	8/25/09	L		
84.					Sold (part)	11/5/09	K	D	
85. Schwab Total Market	A	Dividend	K	T	Buy	5/11/09	K		

1. Income Gain Codes:
(See Columns D1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment
W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

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T = Cash Market

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86. Conoco Philips	A	Dividend	K	T	Buy	5/8/09	K		
87. Greenspring Fund	B	Dividend	K	T	Buy	5/11/09	K		
88. Nicholas II Fund	A	Dividend	K	T	Buy	5/12/09	K		
89. Nicholas Ltd Edition Fund	A	Dividend	K	T	Buy	5/12/09	K		
90. Schwab Investor Money Fund	A	Dividend	J	T	Buy	1/20/09	L		
91.					Sold (part)	5/11/09	K		
92. Schwab Advantage Cash (Note)	A	Dividend	J	T					

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

Part VII:

Lines 4: Name Change: Mutual Qualified Fund renamed Mutual Quest Fund

Line 11: Passive income from sub-chapter S corporation.

Line 12: The appraisal date is 4/2008.

Line 14: At some point, this policy was assigned by Travelers to MetLife.

Line 15: In April, 2009, I transferred the cash value of the Crown Life Policy to a new policy with Axa.

Line 49: In the 2008 Report, this investment was reported sold. However, the sale was only a partial sale.

Line 92: This is one of many Schwab Money Market Funds held. It was opened before 1/1/09, but overlooked last year.

Line 48: (2008 Report): The partial sale on 11/24/08 disposed of all of this fund

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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.

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY VIOLATES THESE PROVISIONS IS SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

TL

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544