

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Williams, Kathleen M.	2. Court or Organization Southern District of Florida	3. Date of Report 5/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 400 North Miami Avenue Room 11-3 Miami, FL 33128		
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.		
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 9

Name of Person Reporting

Williams, Kathleen M.

Date of Report

5/10/2017

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.	
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. NYU Law School	March 31-April 1, 2016	New York, NY	Interview Law School Scholarship Candidates	Transportation, Lodging (2 nights)
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Williams, Kathleen M.

Date of Report

5/10/2017

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.	American Express	Revolving Credit/Charge Card	J
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Williams, Kathleen M.

Date of Report

5/10/2017

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. United Technologies (UTX)	D	Dividend	O	T					
2. ATT (T)	C	Dividend	L	T					
3. Edison (EIX)	A	Dividend	K	T	Sold (part)	08/15/16	K	D	
4. Lockheed Martin (LMT)	B	Dividend	L	T					
5. IBM	A	Dividend	K	T	Sold (part)	08/15/16	K	D	
6. Princ Preferred Securities (PRFCX)	C	Int./Div.	L	T					
7. Nationwide Annuity		None	N	T					
8. Wells Fargo Money Sweep	A	Interest	J	T					
9. Hospitality 7.125% Preferred	D	Int./Div.	L	T					
10. WELLS FARGO MANAGED ASSET ACCOUNT HOLDINGS BELOW									
11. FTIXX-GSachs Treasury Instruments	B	Interest	J	T	Buy (add'l)	08/24/16	J		
12. JHAIX-J Hancock FNDS II	B	Dividend			Sold	05/22/16	K	A	
13. HACAX-Harbor Cap Apprec Fnd	A	Dividend			Sold	05/27/16	K	A	
14. MEDIX-MFS Emerg Mkt Debt	A	Int./Div.	K	T	Buy (add'l)	08/24/16	J		
15.					Sold (part)	05/27/16	J	A	
16. MWTIX-Met West Total Rtns	A	Dividend			Sold	05/31/16	K	A	
17. JPIVX-JP Morgan Intrepid Value	A	Dividend			Sold	05/31/16	K	B	

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Williams, Kathleen M.

Date of Report

5/10/2017

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 I (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. ODVYX-Oppenheimer Dev Markets	A	Int./Div.			Sold	05/31/16	J	A	
19. OIBYX-Oppenheimer Intl Fund	A	Dividend	J	T	Sold (part)	06/01/16	J	A	
20.					Sold (part)	08/25/16	J	A	
21. PHYTX-Principal Funds Hi-yield	A	Int./Div.			Sold	05/27/16	K	A	
22. ORIYX-Oak Ridge Small Cap	A	Dividend	J	T	Buy (add'l)	05/31/16	J		
23.					Buy (add'l)	08/24/16	J		
24. EGRIX-Eaton Vance Global Fund	A	Int./Div.			Sold	05/27/16	J	A	
25. NLSIX-Neuberger Berman Long/Short	A	Royalty			Sold	05/31/16	J	A	
26. BFM CX-Blackrock Corp Bond	A	Int./Div.			Sold	05/27/16	K	A	
27. AEPFX-American Euro-Pacific Grth	A	Int./Div.	K	T	Buy (add'l)	08/24/16	J		
28.					Sold (part)	05/27/16	J	A	
29. SKIRX-Deutsche Sec Commodity	A	Dividend			Sold	05/27/16	J	A	
30. HASCX-Harbor Fund Small Cap	A	Dividend			Sold	05/31/16	J	A	
31. BLRYX-Brookfield Inv Fund	A	Int./Div.	J	T	Sold (part)	05/27/16	J	A	
32. PCBIX-Principal Fund Mid-Cap	A	Int./Div.			Sold	05/27/16	J	A	
33. Cohen & Steers Rlty (CSRSX)	A	Dividend	J	T	Buy	05/31/16	J		
34. Credit Suisse Commodity (CRSOX)		None	J	T	Buy	05/31/16	J		

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 9

Name of Person Reporting

Williams, Kathleen M.

Date of Report

5/10/2017

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. Diamond Hill Large Cap (DHLRX)	A	Dividend	K	T	Buy	05/31/16	K		
36.					Sold (part)	08/25/16	J	A	
37. John Hancock FDS III (JGYIX)	A	Dividend	J	T	Buy	05/31/16	J		
38. Lord Abbet Value Fund (LVOFX)	A	Dividend	K	T	Buy	05/31/16	K		
39. MFS Municipal Fnd (MMILX)	A	Interest	K	T	Buy	05/31/16	K		
40. MFS VALUE Fnd (MEILX)	A	Dividend	K	T	Buy	05/31/16	K		
41. Noveen Mon. Trust (NUVBX)	A	Interest	K	T	Buy	05/31/16	K		
42.					Sold (part)	08/24/16	J	A	
43. Wells Fargo Emerging Markets (EMGNX)	A	Dividend	J	T	Buy	05/31/16	J		
44.					Sold (part)	08/24/16	J	A	
45. JPMorgan Large Cap (SEEGX)	A	Dividend	J	T	Buy	05/31/16	J		
46.					Sold (part)	08/25/16	J	A	
47. Prudential Mid-Cap (PEGZX)	A	Dividend	J	T	Buy	05/31/16	J		
48.					Buy (add'l)	08/24/16	J		
49. T. Rowe Price Mun. Funds (PRINX)	A	Interest	J	T	Buy	08/24/16	K		
50. T. Rowe Price Mun. Inter Fnd (PRSMX)	A	Interest	J	T	Buy	05/31/16	K		
51. T. Rowe Price Tax Free (PRFSX)	A	Int./Div.	J	T	Buy	05/31/16	J		

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 9

Name of Person Reporting

Williams, Kathleen M.

Date of Report

5/10/2017

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.					Sold (part)	08/25/16	J	A	
53. T. Rowe Price Blue Chip (TRBCX)	A	Dividend	K	T	Buy	05/31/16	K		
54.									

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 8 of 9

Name of Person Reporting

Williams, Kathleen M.

Date of Report

5/10/2017

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Williams, Kathleen M.

Date of Report

5/10/2017

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/ Kathleen M. Williams**

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