

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) Kessler, Gladys	2. Court or Organization U.S. District Court	3. Date of Report 07/01/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/31/2013
5b. ☐ Amended Report		
7. Chambers or Office Address U.S. District Court 333 Constitution Avenue, N.W. Washington, DC 20001		
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. Board Member	Our Place, D.C. -- a 501(c)(3) organization
2. Board Member	Ontario Building Co-op
3. Board Member	Frederick Abramson Foundation
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. 2013	I am a member of the D.C. Judges' Retirement Fund and eligible for all benefits.
2. 2013	As a Senior Judge, I now receive a pension rather than a salary.
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Kessler, Gladys

Date of Report

07/01/2014

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. 2013	D.C. Government - Pension	\$132,518.64
2. 2013	Judicial Retirees & Survivors Admin Office of the US Courts - Pension	\$169,267.04
3. 2013	Vanguard 500 Index Contributory IRA	\$9,578.15
4. 2013	Vanguard Mid-Cap Contributory IRA	\$13,435.18

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. 2013	Wells Fargo Bank NA - IRA
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Kessler, Gladys

Date of Report

07/01/2014

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Kessler, Gladys

Date of Report

07/01/2014

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. ADP - common stock	B	Dividend	L	T					
2. Tyco - common stock	A	Dividend	J	T					
3. MMM - common stock	B	Dividend	M	T					
4. GE - common stock	B	Dividend	L	T					
5. Stanley Black & Decker - common stock	A	Dividend	K	T					
6. Vanguard High Yield Tax Exempt - mutual fund	E	Interest	O	T					
7. Vanguard Tax Exempt Money Market Fund		None	L	T					
8. Sun Trust - Checking Account		None	J	T					
9. Wells Fargo Advantage Fund IRA - mutual fund		None			Distributed	02/20/13	K		
10. Vanguard 500 Index Fund	D	Dividend	N	T					
11. Vanguard Dividend Growth Fund		None			Distributed	02/20/13	M		
12. Merrill Lynch - Nuveen Dividend Advantage Muni Bond Fund	B	Interest	K	T					
13. Apache Corp - common stock		None			Distributed	02/20/13	M		
14. General Electric - common stock		None			Distributed	02/20/13	L		
15. Quality Systems - common stock		None			Distributed	02/20/13	L		
16. General Dynamics - common stock		None			Distributed	02/20/13	L		
17. Merrill Lynch - Eaton Vance Municipal Bonds	B	Int./Div.	K	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 \$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 8

Name of Person Reporting

Kessler, Gladys

Date of Report

07/01/2014

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. Vanguard Health Care Fund	E	Dividend	M	T					
19. Allstate - common stock		None			Distributed	02/20/13	M		
20. RPM International - common stock		None			Distributed	02/20/13	M		
21. Merrill Lynch - 3M Company	A	Dividend	J	T					
22. Merrill Lynch - General Electric	A	Dividend	J	T					
23. Merrill Lynch - Eaton Vance Worldwide Health	D	Int./Div.	K	T					
24. Vanguard Mid-Cap Index Fund Admiral Shares	C	Dividend	N	T					
25. PNC Bank - Checking Account (X)		None			Distributed	02/20/13	M		
26. Broadridge Financial Solutions, Inc.	A	Dividend	J	T					
27. Vanguard IRA 500 Index Fund Admiral Shares	D	Dividend	N	T					
28. Vanguard IRA Mid-Cap Index Fund Admiral Shares	C	Dividend	N	T					
29. Sandy Spring Bancorp -	A	Dividend			Distributed	02/20/13	K		
30. Vanguard Long-Term Tax-Exempt Adm -	B	Interest			Distributed	02/20/13	N		
31. Exxon Mobil Corp - common stock		None			Distributed	02/20/13	K		
32. Bristol Myers Squibb - common stock	A	Dividend			Distributed	02/20/13	K		
33. US Govt Money Market Fund -		None			Sold	01/01/13	J		
34. Nextera Energy Inc -		None			Distributed	02/20/13	L		

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 8

Name of Person Reporting

Kessler, Gladys

Date of Report

07/01/2014

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. RBC Bank Deposit Program -		None			Distributed	02/20/13	J		
36. Wal-Mart Stores, Inc -		None			Distributed	02/20/13	L		
37. TE Connectivity	A	Dividend	J	T					
38. Exelon Corporation -		None			Distributed	02/20/13	L		
39. McDonald's Corp -		None			Distributed	02/20/13	K		
40. Pepsico Inc -		None			Distributed	02/20/13	K		
41. Walgreens Co -		None			Distributed	02/20/13	L		
42. Covidien PLC	A	Dividend	J	T					
43. Pentair LTD (X)	A	Dividend	J	T					
44. Wells Fargo Advantage Opportunity Fund (X)	B	Int./Div.			Distributed	02/20/13	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 7 of 8

Name of Person Reporting

Kessler, Gladys

Date of Report

07/01/2014

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

Additional notes on Part VII: lines 12, 17, 21, 22, 23 are all holdings in the same brokerage account.

Line 43: This asset was inadvertently excluded from the 2012 disclosure report. It is a holding of the filer.

Line 44: This asset was inadvertently marked as fully disposed in 2012. It should have been marked as partially disposed.

The filer's [REDACTED] passed away on February 20, 2013. All of his assets were distributed to the beneficiaries of his estate, who were individuals other than his [REDACTED].

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Kessler, Gladys

Date of Report

07/01/2014

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/ Gladys Kessler**

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