

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) -Margolis, Joan G.	2. Court or Organization District of Connecticut	3. Date of Report 04/30/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Full)	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 141 Church Street, Room 303 New Haven, Connecticut 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. Trustee	Family Philanthropic Funds
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2013

Husband, Self-Employed Attorney, New Haven, Connecticut

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

	<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. J.P. Morgan Chase Bank, New Haven, CT, Bank Accts.&IRA, Bank	A	Interest	M	T					
2. First Niagara Bank (New Alliance), New Haven, Bank Accounts	A	Interest	K	T					
3. State of Israel,Bonds (Mazel Tov Savings Bonds)	A	Interest	J	T	Redeemed (part)	11/22/13	J	A	
4. State of Israel Bonds (7th Dev. Reg. Savings Amended Bond)	A	Interest	J	T	Redeemed (part)	11/22/13	J	A	
5. Connecticut Light & Power Co., Preferred Stock	A	Dividend	J	T					
6. United Illuminating Co., Common Stock	C	Dividend	L	T					
7. International Business Machines, Stock	A	Dividend	J	T					
8. Puerto Rico Zero Coupon Bonds	A	Interest	J	T					
9. J.P. Morgan Fund (formerly Chase Vista Trust)	B	Interest	K	T					
10. Columbia Seligman Henderson Glob. Tech. Fund (fka Seligman)	A	Dividend	L	T					
11. Microsoft Corp., Stock	B	Dividend	L	T	Distributed (part)	08/27/13	J	A	Adult Child
12. Fundamental Investors, Inc.	A	Dividend	L	T	Buy (add'l)	07/17/13	J		
13. Fundamental Investors, Inc.	A	Dividend	L	T	Distributed (part)	08/27/13	J	A	Adult Child
14. Growth Fund of America, Inc.	A	Dividend	M	T	Distributed (part)	08/27/13	K		Adult Child
15. Capital World Growth & Income Fund	B	Dividend	L	T	Distributed (part)	08/27/13	J	A	Adult Child
16. Capital World Growth & Income Fund	B	Dividend	L	T	Buy (add'l)	12/19/13	K		
17. Small Cap World Fund, Inc.	B	Dividend	L	T	Distributed (part)	08/27/13	K	A	Adult Child

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

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18. New World Fund	A	Dividend	K	T					
19. Euro Pacific Growth Fund	A	Dividend	K	T					
20. New Economy Fund SBI	A	Dividend	K	T					
21. American Mutual Funds, Inc.	A	Dividend	K	T					
22. Columbia Seligman Comm. & Info. (fka Seligman Comm.), Stock	A	Dividend	K	T	Donated (part)				
23. Kellogg Co., Stock	A	Dividend	J	T	Distributed (part)	08/27/13	J	A	Adult Child
24. Xcel Energy, Stock	A	Dividend	K	T					
25. J.P. Morgan Chase Corp., Stock	A	Dividend	K	T					
26. Cisco Systems Inc., Stock	A	Dividend	K	T					
27. Pfizer, Inc., Stock	A	Dividend	J	T					
28. Nippon Telegraph & Telephone Co., Stock	A	Dividend	J	T	Distributed (part)	08/27/13	J	A	Adult Child
29. Amgen, Inc., Stock	A	Dividend	K	T					
30. Qualcomm, Inc., Stock	A	Dividend	J	T					
31. Proctor & Gamble Co., Stock	A	Dividend	K	T					
32. Home Depot, Stock	A	Dividend	K	T	Distributed (part)	08/27/13	K	A	Adult Child
33. Dell Computer Corp., Stock	A	Dividend			Redeemed	10/30/13	J	A	
34. Mayflower Advisors, LLC (formerly Wells Fargo Bank, NA), Market Fund	A	Interest	M	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 \$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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35. General Electric, Stock	B	Dividend	K	T	Distributed (part)	08/27/13	J	A	Adult Child
36. AXA Equitable Fund	A	Interest	K	T					
37. Pub. Svc. Enter. Gr., Inc. (fka PSEG), Stock	B	Dividend	K	T					
38. Conn. State Higher Ed. Supp. LN Authority	A	Interest	J	T	Redeemed (part)	05/13/13	J	A	
39. Johnson & Johnson, Inc., Stock	B	Dividend	K	T	Distributed (part)	08/27/13	K	A	Adult Child
40. First Niagara Financial Group, LLC (fka New Alliance), Stock	C	Dividend	M	T					
41. Verizon Communications, Stock	A	Dividend	J	T					
42. Dow Chemical Co., Stock	A	Dividend	J	T					
43. Prime Money Market Fund (fka Tamarack Investment FDS Prime)	A	Interest	L	T					
44. Bristol Myer Squibb Co., Stock	A	Dividend	J	T	Distributed (part)	08/27/13	J	A	Adult Child
45. Intel Corp., Stock	A	Dividend	J	T	Distributed (part)	08/27/13	J	A	Adult Child
46. Conn. St. GO CAB's Colleges SWD Plan, Bonds	B	Interest	K	T					
47. Archer Daniels Midland Co., Stock	A	Dividend	J	T					
48. Milestone Scientific, Inc., Stock	A	Dividend	K	T					
49. Hamden, CT, Property (p'ship now LLC)	D	Rent	M	W					
50. Merck & Co., Inc., Stock	A	Dividend	K	T					
51. Conn ST SPL Tax Obligation R Spl, Bond	C	Interest	L	T					

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52. McDonald's, Stock	A	Dividend	K	T					
53. Shanghai OLED New Haven, LLC, Stock	A	Dividend	K	T					
54. J.M. Smucker & Co., Stock	A	Dividend	J	T					
55. Bright Directions Coll Sav.. Prog., Ill. Coll. Sav. Pool (non control)	A	Interest	M	T					
56. Royal Dutch Shell, PLC	B	Dividend	K	T					
57. Statoil ASA	A	Dividend	J	T					
58. Thompson Reuter Corp.	A	Dividend	K	T					
59. Vodafone Group PLC	A	Dividend	K	T					
60. Illinois Tool Works Inc.	A	Dividend	K	T					
61. Connecticut St. Sev C G/O	A	Dividend	K	T	Redeemed (part)	06/03/13	K	A	
62. Enduro Royalty Trust	B	Dividend	K	T	Sold (part)	12/18/13	J	A	
63. Enterprise Products Partners, LP	A	Dividend	J	T					
64. Manning & Napier FDNCW Pro Blend Extended Term Serv. Class A	A	Dividend	K	T					
65. Promissory Note (personal loan secured by mtg. by JBB, LLC)	A	Distribution	K	T					
66. Prudential Premier Retirement B Series Annuity	C	Interest	L	T					
67. CBOE Holdings, Inc.	A	Dividend	K	T					
68. Manulife Financial Corp.,	A	Dividend	K	T					

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69. Novartis AG	A	Dividend	K	T					
70. SPDR Gold Trust	A	Distribution	J	T					
71. Connecticut St. For Issues Dated Prior to 10/19/10	A	Interest	J	T					
72. Connecticut St SPL Tax Obligation Rev. RFDG Trans Infra Serv	A	Interest	J	T	Redeemed (part)	09/03/13	J	A	
73. Connecticut st. Ser C G/O Unltd B/E OLD	A	Interest	J	T					
74. Connecticut St. Ref Ser G/O Unltd B/E	A	Interest	K	T	Redeemed (part)	12/15/13	K	A	
75. Consolidated Edison, Inc.	A	Dividend	J	T					
76. Citizens Bank	A	Interest	J	T	Open	08/13/13	J		
77. Caterpillar, Inc.	A	Dividend	K	T	Buy	10/23/13	K		
78. Diebold, Inc.	A	Dividend	K	T	Buy	10/23/13	K		

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

Upon the death of several elderly relatives, I became the Trustee of philanthropic funds established by my relatives with a local charity. My role with respect to these philanthropic funds is quite limited. As Trustee, my sole responsibility is to make recommendations for distributions to other charities, which recommendations can be followed or ignored by the charitable foundation which administers the funds. This charitable foundation manages millions of dollars of charitable funds (akin to a little version of the United Way), of which my relatives' philanthropic funds are just a small part. I have no knowledge of, or responsibility for, any assets held by this fund; all these decisions are vested solely in the discretion of the charitable foundation. I explained this in a letter to CFD, dated July 30, 2004.

Thank you.

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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/ **Joan G. -Margolis**

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