

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 11/14/2016
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 01/01/2015 to 12/31/2015
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.		

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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.	
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. NYU Law School	March, 2015	New York, NY	Interview Law School Scholarship Candidates	Transportation, Lodging (2 nights)
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.	American Express	Revolving Credit/Charge Card	J
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. United Technologies (UTX)	D	Dividend	N	T					
2. ATT (T)	C	Dividend	K	T					
3. Edison (EIX)	B	Dividend	K	T					
4. Lockheed Martin (LMT)	B	Dividend	L	T					
5. IBM	B	Dividend	K	T					
6. Princ Preferred Securities (PRFCX)	C	Int./Div.	M	T					
7. Nationwide Annuity		None	N	T					
8. Wells Fargo Money Sweep	A	Interest	K	T					
9. Hospitality 7.125% Preferred	C	Int./Div.	M	T					
10. WELLS FARGO MANAGED ASSET ACCOUNT HOLDINGS BELOW									
11. ARTQX-Artisan Mid-cap Value	A	Dividend			Sold	04/02/15	J	A	
12. CSRSX-Cohen Steers Realty Fnd	A	Dividend			Sold	08/05/15	J	A	
13. FTIXX-GSachs Treasury Instruments	A	Interest	J	T	Sold (part)	01/12/15	J	A	
14.					Buy (add'l)	04/06/15	J		
15.					Sold (part)	04/13/15	J	A	
16.					Sold (part)	07/13/15	J	A	
17.					Buy (add'l)	08/06/15	J		

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 - \$2,000 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 = \$2,001 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H3 = More than \$5,000,000 M = \$1,000,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D2)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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 "(N)" 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.					Sold (part)	10/09/15	J	A	
19. JIAIX-J Hancock FNDs II	B	Dividend	K	T	Buy (add'l)	08/06/15	J		
20. HACAX-Harbor Cap Apprec Fnd	A	Dividend	K	T	Sold (part)	04/02/15	J	B	
21. JRGIX-Artio Gbl Inv Fund	A	Dividend			Sold	08/05/15	J	A	
22. MGBIX-AMG Funds III	A	Dividend			Sold	04/15/15	K	A	
23. MEDIX-MFS Emerg Mkt Debt	A	Int./Div.	J	T	Sold (part)	04/02/15	J	A	
24.					Buy	08/04/15	J		
25. MIIYTX	A	Int./Div.			Sold	04/01/15			
26. MWITX-Met West Total Rtns	A	Dividend	K	T	Buy (add'l)	04/06/15	J	A	
27. JPIVX-JP Morgan Intrepid Value	A	Dividend	K	T					
28. HNVIX-Heartland Value	A	Dividend			Sold	04/02/15	J	A	
29. ODVYX-Oppenheimer Dev Markets	A	Int./Div.	J	T	Buy (add'l)	04/02/15	J		
30.					Sold (part)	08/05/15	J	A	
31. OIBYX-Oppenheimer Intl Fund	A	Dividend	K	T	Buy (add'l)	04/06/15	J		
32. PIITYX-Principal Funds III-yield	A	Int./Div.	J	T	Buy	04/06/15	J		
33.					Buy (add'l)	08/05/15	J		
34. PCRIX-Pimco Pacific Funds	A	Int./Div.			Buy (add'l)	04/06/15	J		

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 P = \$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 R = Cost (Real Estate Only) V = Other	C = \$25,001 - \$50,000 H = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P2 = More than \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000 M = \$1,000,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D2)					
3. Value Method Codes: (See Column C2)	Q = Appraisal U = Book Value		S = Assessment W = Exchange		

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35.					Sold	12/16/15	J	A	
36. ORIYX-Oak Ridge Small Cap	A	Dividend	J	T	Buy	04/06/15	J		
37.					Buy (add'l)	04/06/15	J		
38. BVAOX-Broadview Opp Fund	A	Int./Div.			Sold	04/02/15	J	A	
39. EGRIX-Eaton Vance Global Fund	A	Int./Div.	J	T	Sold (part)	08/05/15	J	A	
40. NLSIX-Neuberger Berman Long/Short	A	Royalty	J	T					
41. BFM CX-Blackrock Corp Bond	A	Int./Div.	K	T	Buy (add'l)	04/02/15	J		
42.					Buy (add'l)	08/05/15	J		
43. JCUIX-JiHancock Return Currency	A	Interest			Sold	08/05/15	J	A	
44. ARPF X-American Euro-Pacific Grth	A	Int./Div.	K	T	Buy (add'l)	08/05/15	J		
45. SKIRX-Deutsche Sec Commodity		None	J	T	Buy	12/15/15	J		
46. HASCX-Harbor Fund Small Cap	A	Dividend	J	T	Buy	04/02/15	J		
47. BLRYX-Brookfield Inv Fund	A	Int./Div.	J	T	Buy	08/05/15	J		
48. PCBIX-Principal Fund Mid-Cap	A	Int./Div.	J	T	Buy	04/02/15	J		

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 P = \$425,001,001 - \$50,000,000	B = \$1,001 - \$2,000 G = \$100,001 - \$100,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,001 - \$5,000 H = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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 D2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimates	T = Cash Market	

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

VII, Line 25 had been listed at line 24 on the (2014) report, but was inadvertently omitted on the (2015) report. It has been added to this Amended Report at Line 25. It was sold in 2015 and that information has been included at Line 25.

VII, Line 27 - This information was listed on the (2015) report at Line 26. The information originally listed contained a typographical error, and this has been corrected on Line 27 of the Amended Report.

Please note that due to the corrections made herein, the Line numbers in Section VII have changed commencing with Line 25.

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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/ **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
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