

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) HALL, JANET C.	2. Court or Organization U.S. District Court (D.CT)	3. Date of Report 05/07/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. District Court 141 Church Street New Haven, CT 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	Connecticut Bar Foundation
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.)*

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. 2013	Self-employed attorney
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. Federal Bar Council	2/16/2013-2/23/2013	Porta Biancu Nieupoort, Netherland Antilles	Panel Participant at Winter Bench/Bar Conference	Travel, hotel and meals
2. Federal Bar Council	5/1/2013	New York, NY	Attend Event in Honor of Federal Bench/Bar Law Day Event	Meal
3. Federal Bar Council	11/27/2013	New York, NY	Judiciary Thanksgiving Luncheon	Meal
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/Sallie Mae	Student Loan	K
2.	Citizens Bank	Line of Credit	M
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. State of Israel Bond - Exp. 1/01/13		None			Redeemed	1/16/13	K		
2. Templeton Dragon Fund	B	Dividend	K	T					
3. Templeton Global Small Cos Growth Fund	A	Dividend	J	T					
4. Mutual Quest Fund	E	Dividend	N	T					
5. Strips-tprr Prnt on 10.625 2015 T/ Bond-8/15/2015	A	Interest	J	T					
6. Strips Tint-US Treasury Mat. 11/15/20	A	Interest	K	T					
7. Vanguard Windsor II Fund	D	Dividend	M	T					
8. Mutual Discovery Fund CL2	C	Dividend	L	T					
9. [REDACTED] P.C. (Note)		None	L	W					
10. Partnership Interest in Whitney-Humphrey Asse. (Note)	C	Distribution	L	W					
11. U.S. Savings Bonds	A	Interest	J	T					
12. AXA Equitable Life Ins. Co. (life policy)	B	Interest	K	T					
13. Schwab US Treas Money Fund	A	Interest	L	T	Buy (add'l)	1/14/13	K		
14.					Sold (part)	5/28/13	L	A	
15.					Buy (add'l)	07/12/13	K		
16. Sound Shore Fund	B	Dividend	N	T	Buy (add'l)	05/28/13	J		
17. Westport Select Cap.CL.R	F	Dividend	O	T	Buy (add'l)	05/28/13	K		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	

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18. Schwab Value Advantage Money Fund	A	Interest	J	T					
19. Citizens Bank	A	Interest	L	T					
20. Artisan Int'l Small Cap	E	Dividend	N	T					
21. Calamos Growth Fund - A	D	Dividend	L	T	Sold (part)	05/28/13	M	F	
22. Third Ave. Real Est. Value Fund	A	Dividend	K	T					
23. Third Ave. International Value Fund	A	Dividend	K	T					
24. T. Rowe Price MidCap Growth	A	Dividend	J	T					
25. T. Rowe Price Cap.App.Fund	D	Dividend	N	T	Buy (add'l)	5/28/13	K		
26. Marsico Growth Fund	F	Dividend	M	T	Buy (add'l)	5/28/13	K		
27. iShare MSCI Canada Index Fund	A	Dividend	J	T					
28. Fidelity Cash Acct.	A	Interest	J	T					
29. Schwab Bank	A	Interest	J	T					
30. Davis NT Venture Fd - A	E	Dividend	N	T	Buy (add'l)	05/28/13	K		
31. Artisan Mid-Cap Value FD	D	Dividend	N	T	Buy (add'l)	05/28/13	K		
32. Dodge & Cox Int'l. Stock	B	Dividend	M	T					
33. Vanguard Strategic Equity	A	Dividend	J	T					
34. Wells Fargo Advantage Value Fund	D	Dividend	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	
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35. Storage Inn Ltd.		None	L	W					
36. Arcadia Wind Farms Energies Ltd		None	L	W					
37. Limited Partner, Cummings Drive Family L.P.	A	Int./Div.			Distributed	12/1/13	L	A	
38. iShares INC MSCI Growth Fund (Note)	A	Dividend	J	T					
39. T. Rowe Price Group A	A	Dividend	J	T					
40. Marsico Focus Fund (Note)	E	Dividend	M	T					
41. Fairholme Fund	D	Dividend	M	T					
42. Intrepid Small Cap Fund	B	Dividend	K	T					
43. Schwab S&P 500 Index Fund	A	Dividend	L	T					
44. Schwab ETFs - US Large Cap ETF	A	Dividend	J	T					
45. Lightstream Res Ltd (Note)		None			Sold	09/23/13	J		
46. iShares TR Russell 3000	D	Dividend	N	T	Buy (add'l)	12/04/13	J		
47. Schwab Total Stock Market	B	Dividend	L	T					
48. Philips 66	A	Dividend	K	T					
49. Greenspring Fund	B	Dividend	K	T					
50. Nicholas II Fund	C	Dividend	L	T	Buy (add'l)	12/04/13	J		
51. Nicholas Ltd Edition Fund	C	Dividend	L	T	Buy (add'l)	12/04/13	J		

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52. Vanguard Russell 2000 Growth Index Fund	A	Dividend	K	T					
53. Vanguard Russell 2000 Value Index Fund	A	Dividend	K	T					
54. Vanguard REIT ETF	A	Dividend	J	T					
55. Vanguard Russell 3000 Index Fund	A	Dividend	J	T					
56. Vanguard Emerging Markets	A	Dividend	K	T					
57. CMG Focus Fund		None	L	T					
58. CMG Realty Fund	B	Dividend	K	T					
59. Schwab Advantage Cash Reserve Premium	A	Dividend	J	T					
60. Royce Value Fund	D	Dividend	M	T					
61. TR Price Growth Fund	A	Dividend	M	T					
62. Vanguard Small Cap Fund	A	Dividend	J	T					
63. Thornberg Int'l Value Fund	A	Dividend	L	T					
64. Oakmark Fund	B	Dividend	M	T					
65. Petrominerals Ltd.	A	Dividend			Sold	09/23/13	J		
66. iShares TR Russell 1000 Growth Index Fund	A	Dividend	L	T	Buy	12/04/13	J		
67. iShares TR Russell 2000 Growth Index Fund	A	Dividend	J	T					
68. Schwab US MidCap ETF	B	Dividend	L	T					

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69. Vanguard Total Stock Market	A	Dividend	J	T	Buy	09/06/13	J		

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

Part VII:

Line 9: Passive income from sub-chapter S corporation.

Line 10: The value was based on a 2012 appraisal, but is higher than the appraised value.

Line 12 (2013 Year End Report): Policy lapsed with zero cash value.

Lines 21, 26, 42, 71 & 72 (2012 Year End Report): No longer need to report these items.

Line 38: Misnamed fund

Line 40: Correct typographic error (Marisco)

Line 45: Name change from Petrobank Energy & Res LTDF

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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/ JANET C. HALL**

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