

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) KOLLAR-KOTELLY, COLLEEN	2. Court or Organization United States District Court	3. Date of Report 05/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2016 to 12/31/2016
7. Chambers or Office Address U.S. District Court 333 Constitution Avenue, NW Washington, D.C. 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	Robert Shuker Scholarship Memorial Fund
2. Director	Historical Society of District of Columbia Circuit
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2016	D.C. Superior Court Retirement Plan
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/11/2017

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	D.C. Superior Court Retirement Fund	\$134,752.20
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT
Page 3 of 8

Name of Person Reporting	Date of Report
KOLLAR-KOTELLY, COLLEEN	05/11/2017

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☐ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1.	Dale Chihuly	Drawing	\$16,000.00
2.	Flora Mace and Joey Kirkpatrick	Drawing	\$5,000.00
3.			
4.			
5.			

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☐ NONE (No reportable liabilities.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Chase Bank	Credit Card	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/11/2017

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. [REDACTED]	E	Rent	M	W					
2. PNC National Bank		None	J	T					
3. Bank of America		None	J	T					
4. DSM Poseidon L.L.C.		None	K	U					
5. General Electric Com. St.	A	Dividend	K	T	Sold (part)	08/01/16	K	C	
6. Schwab Money Market Fund	A	Dividend	M	T					
7. Sterling One Industrial LLC	D	Dividend	K	U					
8. Apache Corp. Com. St.	A	Dividend	J	T	Sold (part)	10/18/16	J	A	
9. Apache Corp. Com. St.	A	Dividend	J	T	Sold (part)	12/14/16	J	A	
10. Pioneer Natural Resource Com. St.	A	Dividend	K	T					
11. Walt Disney Com. St.	A	Dividend	K	T	Sold (part)	9/29/16	J	D	
12. Walt Disney Com. St.	A	Dividend	K	T	Sold (part)	12/14/16	J	D	
13. Norfolk Southern Com. St.	A	Dividend	K	T	Sold (part)	10/06/16	J	D	
14. Norfolk Southern Com. St.	A	Dividend	K	T	Sold (part)	11/28/16	J	D	
15. Wilmington Trust bonds	B	Interest	K	T					
16. Dupont E.I. Nemour Com. St.	A	Dividend	K	T	Sold (part)	8/17/16	K	D	
17. Vanguard Corp. Bond	B	Interest	K	T	Sold (part)	01/05/16	K	B	

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

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/11/2017

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)
18. Vanguard Corp. Bond	B	Interest	K	T	Sold (part)	12/14/16	K	C	
19. HCP Inc. Com. St.	B	Dividend	K	T	Sold (part)	1/5/16	J	C	
20. HCP Inc. Com. St.	B	Dividend	K	T	Sold (part)	5/9/16	J	A	
21. DOW Chemical Com. St.	A	Dividend	K	T	Sold (part)	07/28/16	J	C	
22. DOW Chemical Com. St.	A	Dividend	K	T	Sold (part)	12/23/16	J	C	
23. Anadarko Petroleum Notes	B	Interest	K	T	Sold (part)	4/25/16	K	A	
24. Anadarko Petroleum Notes	B	Interest	K	T	Sold (part)	12/1/16	K	A	
25. SPDR Barclays Capital Bond	B	Interest	K	T					
26. Eaton Vance Ltd. Notes	B	Interest	K	T					
27. Ishares Gold Trust Com. St.		None	J	T					
28. Jeffries Group Bonds	A	Interest	K	T					
29. Titan Internation Inc. Com. Stock	A	Dividend	K	T	Sold (part)	03/15/16	J		
30. Titan Internation Inc. Com. Stock	A	Dividend	K	T	Sold (part)	8/1/16	J		
31. Home Depot Com. Stock	A	Dividend	K	T	Sold (part)	09/29/16	J	C	
32. Home Depot Com. Stock	A	Dividend	K	T	Sold (part)	12/02/16	J	C	
33. Global X Funds Com. St.	B	Dividend	K	T	Buy	05/31/16	J		
34. Powershares Senior Loan Port Com. St.	A	Dividend	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 6 of 8

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/11/2017

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. United Health Group Com. St.	A	Dividend	K	T	Sold (part)	01/06/16	J	C	
36. United Health Group Com. St.	A	Dividend	K	T	Sold (part)	11/29/16	K	D	
37. Gilead Sciences Com. St.	A	Dividend	K	T	Sold (part)	12/23/16	J		
38. Bristol-Myers Squibb Com. Stock	A	Dividend	K	T	Sold (part)	01/05/16	J	B	
39. Apple Inc Com Stock	A	Dividend	J	T	Sold (part)	11/29/16	J		
40. Apple Inc Com Stock	A	Dividend	J	T	Sold (part)	12/2/16	J		
41. Nextera Energy Inc Com Stock	A	Dividend	K	T	Sold (part)	02/09/16	K	C	
42. Chemours Co. Com Stock	A	Dividend	J	T	Sold (part)	08/17/16	J	A	
43. International Paper Co. Com St	A	Dividend	J	T	Buy	08/01/16	J		
44. International Paper Co. Com St	A	Dividend	J	T	Sold (part)	12/14/16	J	B	

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

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/11/2017

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

KOLLAR-KOTELLY, COLLEEN

Date of Report

05/11/2017

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/ COLLEEN KOLLAR-KOTELLY**

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