

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 08/04/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.		

Name of Person Reporting	Date of Report
Williams, Kathleen M.	08/04/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] 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.)

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT
Page 3 of 7

Name of Person Reporting	Date of Report
Williams, Kathleen M.	08/04/2020

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

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1. American Express	Revolving Credit/Charge Card	K
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Williams, Kathleen M.

Date of Report

08/04/2020

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	O	T					
2. ATT (T)	C	Dividend	L	T					
3. Edison (EIX)	B	Dividend	K	T					
4. Lockheed Martin (LMT)	C	Dividend	M	T					
5. IBM	A	Dividend	J	T					
6. Princ Preferred Securities (PRFCX)	C	Int./Div.	M	T					
7. Nationwide Fixed Annuity		None	N	T					
8. Wells Fargo Money Sweep	A	Interest	J	T					
9. WELLS FARGO MANAGED ASSET ACCOUNT HOLDINGS BELOW									
10. FTIXX-GSachs Treasury Instruments	A	Interest	J	T	Sold (part)	07/12/19	J	A	
11.					Buy (add'l)	07/24/19	J		
12. MEDIX-MFS Emerg Mkt Debt	A	Int./Div.	K	T					
13. OIBYX-Oppenheimer Intl Fund	A	Dividend			Sold	07/23/19	J	A	
14. AEPFX-American Euro-Pacific Grth	A	Int./Div.	K	T					
15. AEPFX-American Euro-Pacific Grth	A	Int./Div.	K	T					
16. BLRYX-Brookfield Inv Fund	A	Int./Div.			Sold	07/23/19	J	A	
17. Cohen & Steers Rlty (CSRSX)	A	Dividend			Sold	07/23/19	J	A	

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 7

Name of Person Reporting

Williams, Kathleen M.

Date of Report

08/04/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Diamond Hill Large Cap (DHLRX)	A	Dividend	K	T					
19. John Hancock FDS III (JGYIX)	A	Dividend	J	T					
20. MFS Municipal Fnd (MMIIX)	A	Interest	K	T					
21. MFS VALUE Fnd (MEIIX)	A	Dividend	K	T					
22. Noveen Mon. Trust (NUVBX)	A	Interest	K	T					
23. Wells Fargo Emerging Markets (EMGNX)	A	Dividend	K	T	Buy (add'l)	07/23/19	J		
24. JPMorgan Large Cap (SEEGX)	A	Dividend			Sold	07/23/19	K	A	
25. T. Rowe Price Mun. Funds (PRINX)	A	Interest	K	T					
26. T. Rowe Price Mun. Inter Fnd (PRSMX)	A	Interest	L	T	Buy (add'l)	07/23/19	J		
27. T. Rowe Price Tax Free (PRFSX)	A	Int./Div.	K	T	Buy (add'l)	07/23/19	J		
28. T. Rowe Price Blue Chip (TRBCX)	A	Dividend	K	T	Buy (add'l)	07/23/19	K		
29. Brown Adv Small Cap (BAFSX)	A	Dividend	K	T					
30. PIMCO FDS Pac Invst (PCRIX)	A	Dividend			Sold	07/23/19	J	A	
31. Hartford Midcap (HFMIX)		None	K	T	Buy (add'l)	07/23/19	J		
32. Janus Henderson Sm Cap Val (JSCOX)	A	Dividend	K	T					
33. Wells Fargo MidCap Value (WFMIX)	A	Dividend	K	T	Buy (add'l)	07/23/19	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 6 of 7

Name of Person Reporting	Date of Report
Williams, Kathleen M.	08/04/2020

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

SECTION VII. INVESTMENTS AND TRUSTS, Line

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Williams, Kathleen M.

Date of Report

08/04/2020

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544