

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 5/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
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.)*

<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. 2020	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. [REDACTED]	2/24/2020 - 2/28/2020	Nassau, Bahamas	Federal Bar Council Bench-Bar Conference	Transportation, Meals and Lodging
2.				
3.				
4.				
5.				

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HALL, JANET C.	5/13/2021

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.		
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. Templeton Dragon Fund: (Note)	D	Dividend	J	T	Sold (part)	01/15/20	J	A	
2. Franklin Mutual Quest Fund	A	Dividend	L	T					
3. Strips Tint-US Treasury Mat. 11/15/20	A	Interest	K	T	Sold (part)	01/15/20	J	A	
4. Vanguard Windsor II Fund	C	Dividend	L	T					
5. Mutual Discovery Fund CL2	C	Dividend	L	T					
6. ██████████ (Note)		None	M	W					
7. Partnership Interest in Whitney-Humphrey Assc. (Note)	D	Dividend	L	W					
8. U.S. Savings Bonds	A	Interest	J	T					
9. AXA Equitable Life Ins. Co. (Flexible Premium Universal Life Policy)	A	Interest	K	T					
10. Schwab US Treas Money Fund	A	Interest	L	T	Buy (add'l)	01/14/20	K		
11.					Buy (add'l)	01/22/20	L		
12.					Sold (part)	01/22/20	L		
13.					Sold (part)	01/23/20	L		
14.					Buy (add'l)	10/07/20	K		
15.					Buy (add'l)	10/19/20	J		
16. Sound Shore Fund	E	Dividend	N	T					
17. Citizens Bank	A	Interest	L	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	

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☐ 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. Artisan Int'l Small Cap Investor	E	Dividend	N	T					
19. Third Ave. Real Est. Value Fund	A	Dividend	K	T					
20. Third Ave. International Value Fund		None			Sold	01/15/20	K	A	
21. T. Rowe Price Cap. Appreciation Fund	F	Dividend	O	T	Buy (add'l)	12/14/20	K		
22. iShare MSCI Canada Index Fund	A	Dividend	J	T					
23. Fidelity Cash Acct.	A	Interest	J	T					
24. Schwab Bank	D	Interest	M	T	Sold (part)	07/09/20	M		
25.					Sold (part)	07/10/20	M		
26. Artisan Mid-Cap Value FD	F	Dividend	N	T	Sold (part)	03/17/20	J		
27. Dodge & Cox Int'l. Stock: (Note)	C	Dividend	M	T					
28. Storage Inn Ltd.		None	N	W					
29. Arcadia Wind Farms Energies Ltd		None	L	W					
30. Intrepid Endurance		None	J	T	Sold (part)	03/17/20	J		
31. Schwab S&P 500 Index Fund	B	Dividend	L	T					
32. iShares Russell 3000 (IMV)	A	Dividend	L	T					
33. Schwab Total Stock Market	B	Dividend	L	T	Sold (part)	03/17/20	K		
34. Nicholas II Fund	B	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
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35. Nicholas Ltd Edition Fund	B	Dividend	K	T					
36. Vanguard Scottsdale FDS Vanguard (VTWV)	A	Dividend	K	T					
37. Vanguard Scottsdale FDS Vanguard Russell (VTWG)	A	Dividend	K	T					
38. Vanguard Index FDS Vanguard REIT/Real Estate (VNQ)	A	Dividend	J	T					
39. Vanguard Scottsdale Russell 3000 (VTHR) (NOTE)	A	Dividend	K	T					
40. Schwab Advisor Cash Res.Prem.	A	Dividend	J	T					
41. TR Price Growth Fund	D	Dividend	N	T					
42. Vanguard Small Cap Fund	A	Dividend	K	T	Sold (part)	03/17/20	J		
43. Oakmark Fund	A	Dividend	N	T	Sold (part)	07/28/20	J	A	
44.					Sold (part)	10/27/20	J	A	
45. iShares (IWF) Russell 1000 Growth Index Fund	A	Dividend	L	T					
46. Schwab US MC (SCHM)	A	Dividend	K	T					
47. Vanguard Total Stock Market	B	Dividend	M	T					
48. Harbor Cap Appreciation	G	Dividend	O	T					
49. Alphabet Inc.		None	L	T					
50. Vanguard Mid Cap (VMVIX)	A	Dividend	K	T	Sold (part)	03/17/20	J		
51. AIG Focused Div. Strategy	D	Dividend	N	T					

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	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)
52. Glenmed. Small Cap. Equity	A	Dividend	K	T					
53. Vanguard Admiral S&P 500 Value (Voor)	A	Dividend	K	T					
54. Vanguard Value Index (VVIAX)	A	Dividend	K	T					
55. Amazon		None	M	T	Sold (part)	04/24/20	K	D	
56. Apple	A	Dividend	J	T					
57. Fidelity Cash Account: (Note)	A	Interest	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

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 =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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

Part VII:

Line 1: This security was purchased over 30 years ago and we do not have records to determine gain. I merely estimated a gain.

Line 6: Passive income from sub-chapter S corporation.

Line 27: The sale reported for Calendar Year 2019 Report was a partial sale.

Line 57: Failed to report a cash account at Fidelity Investments on Calendar Year 2019 Report.

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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
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Washington, D.C. 20544