

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) HALL, JANET C.	2. Court or Organization U.S. District Court (D.CT)	3. Date of Report 5/12/2016
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 01/01/2015 to 12/31/2015
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

5/12/2016

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. 2015	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. [REDACTED]	2/14/2015 - 2/21/2015	Dominican Republic	Attend Annual Federal Bar Council Bench-Bar Conference	Transportation, Meals and Lodging
2. Aspen Institute Justice and Society Seminar	7/24/2015 - 7/26/2015	Long Island, NY	Educational Seminar	Meals and Lodging
3. Federal Bar Council	11/25/2015	New York, NY	Attend annual Judiciary Thanksgiving Luncheon	Meal
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

5/12/2016

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.	Citizens Bank	Line of Credit	M
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

5/12/2016

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	C	Dividend	K	T					
2. Franklin Mutual Quest Fund	C	Dividend	M	T					
3. Strips-tprrp Pmt on 10.625 2015 T/ Bond-8/15/2015		None			Matured	8/15/15	J	A	
4. Strips Tint-US Treasury Mat. 11/15/20	A	Interest	K	T					
5. Vanguard Windsor II Fund	B	Dividend	M	T	Buy (add'l)	12/30/15	K		
6. Mutual Discovery Fund CL2	D	Dividend	L	T					
7. (Note)		None	M	W					
8. Partnership Interest in Whitney-Humphrey Asse. (Note)		None	L	W					
9. U.S. Savings Bonds	A	Interest	J	T					
10. AXA Equitable Life Ins. Co. (life policy)	A	Interest	K	T					
11. Schwab US Treas Money Fund	A	Interest	J	T	Buy (add'l)	02/09/15	L		
12.					Buy (add'l)	03/09/15	J		
13.					Sold (part)	04/28/15	L	A	
14.					Buy (add'l)	12/31/15	J		
15. Sound Shore Fund	E	Dividend	N	T	Buy (add'l)	10/08/15	J		
16. Westport Select Cap.CL.R	F	Dividend	N	T	Sold (part)	04/27/15	M		
17.					Sold (part)	9/02/15	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 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 10

Name of Person Reporting

HALL, JANET C.

Date of Report

5/12/2016

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. Citizens Bank	A	Interest	M	T					
19. Artisan Int'l Small Cap Investor	E	Dividend	M	T					
20. Third Ave. Real Est. Value Fund	A	Dividend	K	T					
21. Third Ave. International Value Fund	A	Dividend	K	T					
22. T. Rowe Price Cap. Appreciation Fund	F	Dividend	N	T	Buy (add'l)	10/07/15	K		
23.					Buy (add'l)	12/30/15	K		
24. Marsico Growth Fund		None			Sold	10/07/15	N	B	
25. iShare MSCI Canada Index Fund	A	Dividend	J	T					
26. Fidelity Cash Acct.	A	Interest	J	T					
27. Schwab Bank	A	Interest	K	T					
28. Davis NT Venture Fd - A	E	Dividend			Sold	10/07/15	N		
29. Artisan Mid-Cap Value FD	E	Dividend	M	T	Sold (part)	09/02/15	K	D	
30. Dodge & Cox Int'l. Stock	D	Dividend	M	T	Buy (add'l)	02/25/15	L		
31.					Buy (add'l)	03/03/15	K		
32.					Buy (add'l)	10/07/15	J		
33.					Buy (add'l)	10/08/15	J		
34.					Sold (part)	12/07/15	M	C	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

5/12/2016

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. Wells Fargo Advantage Value Fund	E	Dividend	M	T					
36. Storage Inn Ltd.	D	Dividend	N	W					
37. Arcadia Wind Farms Energies Ltd		None	L	W					
38. T. Rowe Price Group A	A	Dividend	J	T					
39. Marsico Focus Fund	E	Dividend	L	T	Sold (part)	09/02/15	K	D	
40. Fairholme Fund	E	Dividend	L	T					
41. Intrepid Small Cap Fund	A	Dividend	K	T	Sold (part)	09/02/15	J	A	
42. Schwab S&P 500 Index Fund	A	Dividend	K	T	Sold (part)	09/02/15	K	D	
43. Schwab US Large Cap ETF	A	Dividend	K	T					
44. iShares TR Russell 3000	D	Dividend	N	T	Sold (part)	09/02/15	K	D	
45. Schwab Total Stock Market	E	Dividend	L	T	Sold (part)	09/02/15	K	D	
46.					Buy (add'l)	11/02/15	K		
47. Philips 66	A	Dividend	K	T					
48. Greenspring Fund	A	Dividend	K	T	Sold (part)	09/02/15	J	A	
49. Nicholas II Fund	B	Dividend	K	T	Sold (part)	09/02/15	K	D	
50. Nicholas Ltd Edition Fund	B	Dividend	K	T	Sold (part)	09/02/15	K	D	
51. Vanguard Russell 2000 Growth Index Fund (VTWG)	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

5/12/2016

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)

52. Vanguard Russell 2000 Value Index Fund (VTWV)	A	Dividend	K	T					
53. Vanguard (REIT) Value Index	A	Dividend	J	T	Buy (add'l)	03/04/15	J		
54. Vanguard Russell 3000 Index Fund	A	Dividend	K	T					
55. Vanguard FTSE Emerging Markets	A	Dividend	J	T	Sold (part)	09/02/15	J		
56. CMG Focus Fund		None	L	T					
57. CMG Realty Fund	A	Dividend	J	T	Sold (part)	09/02/15	J	B	
58. Schwab Adv. Cash Reserve Prem.	A	Dividend	J	T					
59. Royce Value Fund	E	Dividend	M	T					
60. TR Price Growth Fund	E	Dividend	M	T					
61. Vanguard Small Cap Fund	A	Dividend	K	T	Buy (add'l)	11/02/15	K		
62. Thornberg Int'l Value Fund	D	Dividend	L	T					
63. Oakmark Fund	C	Dividend	N	T	Buy (add'l)	02/25/15	L		
64.					Buy (add'l)	03/03/15	K		
65.					Buy (add'l)	10/03/15	K		
66.					Buy (add'l)	10/08/15	K		
67.					Buy (add'l)	12/30/15	K		
68. iShares (IWF) Russell 1000 Growth Index Fund	A	Dividend	K	T	Sold (part)	09/02/15	K	C	

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

5/12/2016

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)
69. iShares TR Russell 2000 Growth Index Fund	A	Dividend	J	T					
70. Schwab US MidCap ETF	A	Dividend	K	T	Sold (part)	09/02/15	K	D	
71. Vanguard Total Stock Market	A	Dividend	J	T	Buy (add'l)	03/05/15	J		
72. Harbor Cap Appreciation	E	Dividend	N	T	Buy (add'l)	10/07/15	M		
73. iShares S&P 500 Growth	A	Dividend	J	T					
74. Alphabet Inc.		None	K	T	Buy	11/02/15	K		
75. Microsoft Corp.	A	Dividend	K	T	Buy	11/02/15	K		
76. Nicholas Fund	A	Dividend	K	T	Buy	11/02/15	K		
77. Vanguard Mid Cap	A	Dividend	K	T	Buy	03/04/15	J		
78.					Buy (add'l)	11/07/15	M		
79. SunAmerica Focused Div. Strategy	D	Dividend	N	T	Buy	10/07/15	N		
80. Harbor International Inv.		None	K	T	Buy	12/30/15	K		
81. Glenmed. Small Cap. Equity		None	K	T	Buy	12/30/15	K		
82. Vanguard Admiral S&P 500 Value	A	Dividend	J	T	Buy	03/02/15	J		
83. Vanguard Value Index	A	Dividend	J	T	Buy	07/14/15	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

5/12/2016

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

Part VII:

Line 7: Passive income from sub-chapter S corporation

Line 8: The value was based on a 2012 appraisal, but is higher than the appraised value.

Line 16 (2014 Amended Report): I no longer have this money market fund in any account I am required to report on. I believe it may have been in an account I no longer need to report, but I cannot confirm that.

Lines 22, 31 and 35 (2014 Amended Report) No longer need to be reported.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

HALL, JANET C.

Date of Report

5/12/2016

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