

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 11/06/2018
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
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.	

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

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.	American Express	Revolving Credit/Charge Card	J
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. United Technologies (UTX)	D	Dividend	O	T					
2. ATT (T)	C	Dividend	L	T					
3. Edison (EIX)	A	Dividend	K	T					
4. Lockheed Martin (LMT)	B	Dividend	L	T					
5. IBM	A	Dividend	K	T					
6. Princ Preferred Securities (PRFCX)	C	Int./Div.	L	T					
7. Nationwide Fixed Annuity		None	N	T					
8. Wells Fargo Money Sweep	A	Interest	J	T					
9. Hospitality 7.125% Preferred	B	Dividend			Sold	02/10/17	L	A	
10. WELLS FARGO MANAGED ASSET ACCOUNT HOLDINGS BELOW									
11. FTIXX-GSachs Treasury Instruments	A	Interest	J	T	Sold (part)	01/13/17	J	A	
12.					Sold (part)	04/13/17	J	A	
13.					Buy (add'l)	08/30/17	J		
14.					Sold (part)	10/13/17	J	A	
15.					Buy (add'l)	10/19/17	J		
16. MEDIX-MFS Emerg Mkt Debt	A	Int./Div.	K	T					
17. OIBYX-Oppenheimer Intl Fund	A	Dividend	J	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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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				
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18. ORIYX-Oak Ridge Small Cap	A	Dividend			Sold	08/29/17	J	A	
19. AEPFX-American Euro-Pacific Grth	A	Int./Div.	K	T					
20. BLRYX-Brookfield Inv Fund	A	Int./Div.	K	T					
21. Cohen & Steers Rlty (CSRSX)	A	Dividend	J	T					
22. Credit Suisse Commodity (CRSOX)	A	Dividend			Sold	08/29/17	J	A	
23. Diamond Hill Large Cap (DHLRX)	A	Dividend	K	T	Sold (part)	04/13/17	J	A	
24. John Hancock FDS III (JGYIX)	A	Dividend	J	T					
25. Lord Abbett Value FUND (LVOYX)	A	Dividend	K	T					
26. MFS Municipal Fnd (MMIIX)	A	Interest	K	T					
27. MFS VALUE Fnd (MEIIX)	A	Dividend	K	T					
28. Noveen Mon. Trust (NUVBX)	A	Interest	K	T	Sold (part)	10/19/17	J	A	
29. Wells Fargo Emerging Markets (EMGNX)	A	Dividend	K	T					
30. JPMorgan Large Cap (SEEGX)	A	Dividend	J	T					
31. Prudential Mid-Cap (PEGZX)	A	Dividend	J	T					
32. T. Rowe Price Mun. Funds (PRINX)	A	Interest	K	T					
33. T. Rowe Price Mun. Inter Fnd (PRSMX)	A	Interest	K	T					
34. T. Rowe Price Tax Free (PRFSX)	A	Int./Div.	J	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. T. Rowe Price Blue Chip (TRBCX)	A	Dividend	K	T	Sold (part)	07/14/17	J	A	
36. Brown Adv Small Cap (BAFSX)	A	Dividend	K	T	Buy	08/28/17	K		
37. PIMCO FDS Pac Invst	A	Dividend	J	T	Buy	08/29/17	K		
38.									

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

SECTION VII. INVESTMENTS AND TRUSTS, Line 25: Lord Abbett Value Fund (LVOFX) changed its listing and is now known as Lord Abbett Value Fund (LVOYX).

Amended line 7 of Section VII to reflect status of Nationwide Annuity as Fixed.

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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/ **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
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