

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) Hall, Peter W.	2. Court or Organization Court of Appeals -- 2d Circuit	3. Date of Report 9/7/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2017 to 12/31/2017
7. Chambers or Office Address United States Court of Appeals P.O. Box 885 Rutland, VT 05702-0885		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member, Executive Committee	Joan Loring Wing Inns of Court Chapter, Southern Vermont
2.	Member, Board of Directors	Federal Judges Association
3.	Member, Board of Trustees	Vermont Law School
4.	Member, Advisory Committee	Cornell Law School
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Hall, Peter W.

Date of Report

9/7/2018

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. 2017	Self-employed -- veterinarian
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. Cornell Law School	February 26-28, 2017	Ithaca, NY	Visiting Scholar	Food, lodging
2. American College of Appellate Lawyers	April 6-7, 2017	Boston, MA	Appeals Court Panel Presentation	Food, lodging
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Hall, Peter W.

Date of Report

9/7/2018

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.	Massachusetts Mutual Life Insurance Company	Loan against whole life policy value	J
2.	NationwideFinancial Services Insurance	Loan against whole life policy value	J
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Hall, Peter W.

Date of Report

9/7/2018

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. CIGNA (common)	A	Dividend	J	T					
2. IRA: Fidelity Asset Manager 50% Mutual Fund	A	Dividend	J	T					
3. Interest in timber & land, Shaftsbury, VT	A	Rent	K	W					
4. Rental portion of personal residence, [REDACTED]	D	Rent	K	W					
5. Nationwide Life Ins. Co. of Amer. whole life ins. Policy	A	Dividend	K	T					
6. Massachusetts Mutual Life Ins. Co. -- whole life ins. Policy	A	Dividend	K	T					
7. Peoples United	A	Interest	J	T					
8. Berkshire Bank	A	Interest	J	T					
9. Heritage Family Credit Union	A	Interest	J	T					
10. Edward D. Jones Money Market Account	B	Dividend	J	T					
11. Vermont Educ. & Health Bldgs Fin.Revenue Bonds	A	Interest	K	T					
12. American Funds (mutual fund) -- Income Fund of America	A	Int./Div.	J	T					
13. Coca Cola Co.	A	Dividend	J	T					
14. IDX	A	Dividend	J	T					
15. Western National Life Insurance Company, Fixed Annuity	A	Int./Div.	J	T					
16. [REDACTED]	E	Distribution	M	U					
17. Credit Union of Vermont	A	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Hall, Peter W.

Date of Report

9/7/2018

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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) 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. UVM & State Agriculture College Revenue Bonds	A	Interest	J	T					
19. 3M Company	A	Dividend	J	T					
20. Caterpillar, Inc.	A	Dividend	J	T					
21. IRA: American Funds -- High Income Trust	A	Dividend	J	T					
22. IRA: American Funds -- Internat'l Growth & Income Fund	A	Dividend	J	T					
23. IRA: American Funds -- American Mutual Fund	A	Dividend	J	T					
24. IRA: American Funds -- Income Fund of America	A	Dividend	J	T					
25. Southwest Airlines	A	Dividend	J	T					
26. CVS Health Corp	A	Dividend	J	T					
27. Apple, Inc. -- See Part VIII	A	Dividend	J	T					
28. MFS Mutual Funds -- See Part VIII	A	Dividend	K	T					
29. Abalone Enterprises LLC	E	Distribution	N	U					
30. Thatcher W. Worthen Trust (X) -- managed by People's United Wealth *	B	Distribution	M	T					
31. Paine Frederic W. Trust (X) -- managed by U.S. Trust **	B	Distribution	M	T					

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 7

Name of Person Reporting

Hall, Peter W.

Date of Report

9/7/2018

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

* Part VII, Line 30 -- Thacher W. Worthen Trust is managed by People's United Wealth Management with the investment objective "Balanced." I did not set up this trust; I am merely an income beneficiary triggered by my mother's death in 2015.

** Part VII, Line 31 -- Paine, Frederic W. Trust is managed by U.S. Trust with the investment objective "Balanced." I did not set up this trust; I am merely an income beneficiary triggered by my mother's death in 2015.

The assets listed on Lines 27 and 28 were inadvertently omitted from my 2016 report.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Hall, Peter W.

Date of Report

9/7/2018

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/ **Peter W. 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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