

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/11/2017
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 01/01/2016 to 12/31/2016
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. 2016	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]	1/29/16 - 2/5/16	Kona, Hawaii	Attend Annual Federal Bar Council Bench-Bar Conference	Transportation, Meals and Lodging
2. New York Intellectual Property Law Association	4/1/2016	New York, New York	Attend Annual Dinner in Honor of Federal Judiciary	Meal and Lodging
3. Federal Bar Council	5/3/2016	New York, New York	Attend Law Day Dinner	Meal
4. Federal Bar Council	11/23/2016	New York, New York	Attend annual Thanksgiving Luncheon in honor of judiciary	Meal
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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	E	Dividend	K	T					
2. Franklin Mutual Quest Fund	D	Dividend	N	T					
3. Strips Tint-US Treasury Mat. 11/15/20	A	Interest	K	T					
4. Vanguard Windsor II Fund	D	Dividend	L	T	Sold (part)	11/14/16	L	E	
5.					Sold (part)	12/19/16	J	A	
6. Mutual Discovery Fund CL2	C	Dividend	L	T					
7. [REDACTED] (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. (Flexible Premium Universal Life Policy)	A	Interest	K	T					
11. Schwab US Treas Money Fund	A	Interest	J	T	Buy (add'l)	03/16/16	J		
12.					Buy (add'l)	01/14/16	L		
13.					Buy (add'l)	04/14/16	J		
14.					Sold (part)	08/30/16	L		
15. Sound Shore Fund	D	Dividend	N	T	Buy (add'l)	01/22/16	J		
16. Hennessey Cornerstone Mid (Note)	G	Dividend	N	T	Sold (part)	03/14/16	M		
17. Citizens Bank	A	Interest	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (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				
	(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. Artisan Int'l Small Cap Investor	D	Dividend	M	T					
19. Third Ave. Real Est. Value Fund	A	Dividend	K	T					
20. Third Ave. International Value Fund	B	Dividend	K	T					
21. T. Rowe Price Cap. Appreciation Fund	E	Dividend	O	T	Buy (add'l)	03/29/16	J		
22.					Sold (part)	11/14/16	K	D	
23.					Donated (part)				
24. iShare MSCI Canada Index Fund	A	Dividend	J	T					
25. Fidelity Cash Acct.	A	Interest	J	T					
26. Schwab Bank	A	Interest	L	T					
27. Artisan Mid-Cap Value FD	D	Dividend	N	T					
28. Dodge & Cox Int'l. Stock	D	Dividend	M	T					
29. Storage Inn Ltd.		None	N	W					
30. Arcadia Wind Farms Energies Ltd		None	L	W					
31. T. Rowe Price Group A	A	Dividend	J	T					
32. Marsico Focus Fund		None	L	T					
33. Fairholme Fund	D	Dividend	M	T					
34. Intrepid Endurance (Note)	A	Dividend	K	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	
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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35. Schwab S&P 500 Index Fund	B	Dividend	K	T					
36. Schwab US Large Cap ETF	A	Dividend	J	T					
37. iShares Russell 3000	D	Dividend	N	T					
38. Schwab Total Stock Market	B	Dividend	K	T					
39. Philips 66	A	Dividend	K	T					
40. Greenspring Fund	A	Dividend	K	T					
41. Nicholas II Fund	B	Dividend	K	T					
42. Nicholas Ltd Edition Fund	C	Dividend	K	T					
43. Vanguard Scottsdale FDS Vanguard Russell (VTWW) (Note)	A	Dividend	K	T					
44. Vanguard Scottsdale FDS Vanguard Russell (VTWC) (Note)	A	Dividend	K	T					
45. Vanguard Index FDS Vanguard REIT (VNQ) (Note)	A	Dividend	J	T					
46. Vanguard Russell 3000 Index Fund (VTHR)	A	Dividend	K	T					
47. Vanguard FTSE Emerging Markets	A	Dividend	J	T					
48. CMG Focus Fund		None	L	T					
49. CMG Realty Fund	A	Dividend	K	T					
50. Schwab Adv. Cash Reserve Prem.	A	Dividend	J	T					
51. Royce Value Fund	A	Dividend	M	T					

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52. TR Price Growth Fund	C	Dividend	M	T					
53. Vanguard Small Cap Fund	A	Dividend	K	T					
54. Thornberg Int'l Value Fund	B	Dividend	L	T					
55. Oakmark Fund	D	Dividend	M	T	Sold (part)	08/29/16	L		
56.					Donated (part)				
57. iShares (IWF) Russell 1000 Growth Index Fund	A	Dividend	L	T	Buy (add'l)	09/12/16	K		
58. Schwab US MC (SCHM) (Note)	A	Dividend	K	T					
59. Vanguard Total Stock Market	A	Dividend	J	T					
60. Harbor Cap Appreciation	E	Dividend	N	T	Buy (add'l)	01/22/16	J		
61.					Buy (add'l)	04/21/16	K		
62. Alphabet Inc.		None	K	T					
63. Microsoft Corp.	A	Dividend	K	T					
64. Nicholas Fund	A	Dividend	K	T					
65. Vanguard Mid Cap	A	Dividend	L	T					
66. SunAmerica Focused Div. Strategy	D	Dividend	N	T	Buy	01/22/16	J		
67. Harbor International Inv.		None	K	T	Sold (part)	11/14/16	K	A	
68. Glenmed. Small Cap. Equity	A	Dividend	K	T	Sold (part)	11/14/16	K	C	

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69. Vanguard Admiral S&P 500 Value	A	Dividend	J	T					
70. Vanguard Value Index (VIVAX)	A	Dividend	J	T					

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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: Stock merger/name change - formerly Westport Select Cap Fund (2015 Report, Line 16).

Line 34: Name Change: formerly Intrepid Small Cap Fund (2015 Report, Line 41).

Line 43: Name Change: formerly Vanguard Russell 2000 Growth Index Fund (VTWG) (2015 Report, Line 51).

Line 44: Name Change: formerly Vanguard Russell 2000 Value Index Fund (VTWV) (2015 Report, Line 52).

Line 45: Name Change: formerly Vanguard (REIT) Value Index Fund (2015 Report, Line 53)

Line 58: Name change: formerly Schwab U.S. MidCap Fund ETF (2015 Report, Line 70)

Line 35 (2015 Report). Wells Fargo Advantage Value Fund was sold on 12/7/2015, and I failed to report that sale in 2015. B. (1) Amount of Income During Reporting Period: E; B (2) Type: Dividend; C (1) Gross Value at End of Reporting Period: Blank; C (2) Value Method: Blank; D (1): Sold; D (2): 12/07/15; D (3) Value at sale: M; D (4) Gain Amount: C .

Lines 69 & 73 (2015 Report). iShares Mutual Funds, formerly listed on lines 69 and 73 of my 2015 Report, have been removed as they belong to a child who is no longer a dependent, and I no longer have control over the accounts.

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