

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 08/14/2015
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 01/01/2014 to 12/31/2014
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 9

Name of Person Reporting

HALL, JANET C.

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08/14/2015

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. 2014

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. Federal Bar Council

4/30/2014

New York, NY

Attend annual Federal
Bench/Bar Law Day Dinner

Meal

2. Federal Bar Council

11/26/2014

New York, NY

Attend annual Judiciary
Thanksgiving Luncheon

Meal

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

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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.	U.S. Dept. Education/Sallie Mae	Student Loan	J
2.	Citizens Bank	Line of Credit	L
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

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08/14/2015

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	D	Dividend	J	T					
2. Templeton Global Small Cos Growth Fund	A	Dividend			Sold	06/06/14	K	B	
3. Franklin Mutual Quest Fund (Note)	D	Dividend	N	T	Sold (part)	06/06/14	K	E	
4. Strips-tprr Pmt on 10.625 2015 T/ Bond-8/15/2015	A	Interest	J	T					
5. Strips Tint-US Treasury Mat. 11/15/20	A	Interest	K	T					
6. Vanguard Windsor II Fund	D	Dividend	M	T	Buy (add'l)	4/7/2014	J		
7.					Sold (part)	12/16/14	J	C	
8. Mutual Discovery Fund CL2	C	Dividend	L	T					
9. [REDACTED] P.C. (Note)		None	M	W					
10. Partnership Interest in Whitney-Humphrey Asse. (Note)	C	Distribution	L	W					
11. U.S. Savings Bonds	A	Interest	J	T					
12. AXA Equitable Life Ins. Co. (life policy)	A	Interest	K	T					
13. Schwab US Treas Money Fund	A	Interest	K	T					
14. Sound Shore Fund	E	Dividend	N	T					
15. Westport Select Cap.CL.R	G	Dividend	O	T					
16. Schwab Value Advantage Money Fund	A	Interest	J	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 \$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 5 of 9

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18. Artisan Int'l Small Cap (Note)	E	Dividend	M	T	Sold (part)	06/06/14	L	F	
19. Calamos Growth Fund - A		None			Sold	02/07/14	L	A	
20. Third Ave. Real Est. Value Fund	C	Dividend	K	T	Buy (add'l)	06/06/14	J		
21. Third Ave. International Value Fund	E	Dividend	K	T					
22. T. Rowe Price MidCap Growth	A	Dividend	J	T					
23. T. Rowe Price Cap.App.Fund	E	Dividend	M	T	Sold (part)	12/16/14	J	C	
24. Marsico Growth Fund	E	Dividend	N	T	Buy (add'l)	06/06/14	J		
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	N	T					
29. Artisan Mid-Cap Value FD	E	Dividend	M	T					
30. Dodge & Cox Int'l. Stock	D	Dividend	N	T	Buy (add'l)	06/06/14	M		
31. Vanguard Strategic Equity	A	Dividend	J	T					
32. Wells Fargo Advantage Value Fund	E	Dividend	M	T	Sold (part)	12/06/14	J	A	
33. Storage Inn Ltd.	E	Dividend	L	W					
34. Arcadia Wind Farms Energies Ltd		None	L	W					

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35. iShares INC MSCI Growth Fund	A	Dividend	J	T					
36. T. Rowe Price Group A	A	Dividend	J	T					
37. Marsico Focus Fund	C	Dividend	M	T					
38. Fairholme Fund	D	Dividend	L	T					
39. Intrepid Small Cap Fund	C	Dividend	L	T					
40. Schwab S&P 500 Index Fund	B	Dividend	L	T					
41. Schwab ETFS - US Large Cap ETF	A	Dividend	J	T					
42. iShares TR Russell 3000	D	Dividend	M	T	Buy (add'l)	04/07/14	J		
43. Schwab Total Stock Market	B	Dividend	L	T					
44. Philips 66	A	Dividend	K	T					
45. Greenspring Fund	B	Dividend	K	T					
46. Nicholas II Fund	D	Dividend	L	T	Buy (add'l)	04/07/14	J		
47. Nicholas Ltd Edition Fund	D	Dividend	L	T					
48. Vanguard Russell 2000 Growth Index Fund	A	Dividend	K	T					
49. Vanguard Russell 2000 Value Index Fund	A	Dividend	K	T					
50. Vanguard REIT ETF	A	Dividend	J	T	Sold (part)	02/06/14	J	B	
51. Vanguard Russell 3000 Index Fund	A	Dividend	K	T	Buy (add'l)	04/07/14	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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52. Vanguard Emerging Markets	A	Dividend	K	T					
53. CMG Focus Fund		None	L	T					
54. CMG Realty Fund	C	Dividend	K	T					
55. Schwab Advantage Cash Reserve Premium	A	Dividend	J	T					
56. Royce Value Fund	E	Dividend	M	T					
57. TR Price Growth Fund	E	Dividend	M	T					
58. Vanguard Small Cap Fund	A	Dividend	J	T					
59. Thornberg Int'l Value Fund	D	Dividend	L	T					
60. Oakmark Fund	D	Dividend	M	T	Buy (add'l)	06/06/14	K		
61. iShares TR Russell 1000 Growth Index Fund	A	Dividend	L	T					
62. iShares TR Russell 2000 Growth Index Fund	A	Dividend	J	T					
63. Schwab US MidCap ETF	A	Dividend	L	T					
64. Vanguard Total Stock Market	A	Dividend	K	T	Buy (add'l)	04/07/14	J		
65. Harbor Cap Appreciation	C	Dividend	L	T	Buy	02/10/14	L		
66. iShares S&P 500 Growth (Note)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

HALL, JANET C.

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

Part VII:

Lines 3, 18: The gain reported is the total proceeds because the security was purchased a while ago and I do not have the records of purchase price.

Line 9: Sub-chapter S corporation.

Line 9: The name of the PC should have been reported on prior reports. This will serve as an amendment to all such prior reports (1997-2013).

Line 10: The value was based on a 2012 appraisal, but is higher than the appraised value.

Line 66: This should have been reported in 2012 & 2013. Bought 9/27/12 - Value J.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

HALL, JANET C.

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08/14/2015

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
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Washington, D.C. 20544