

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 06/05/2014
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 01/01/2013 to 12/31/2013
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Williams, Kathleen M.

Date of Report

06/05/2014

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Williams, Kathleen M.

Date of Report

06/05/2014

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.	Wells Fargo	Secured Credit/Home Equity	M
2.	American Express	Revolving Credit/Charge Card	J
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Williams, Kathleen M.

Date of Report

06/05/2014

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. AT&T Stock	C	Dividend	K	T					
3. Edison Int'l Stock	A	Dividend	K	T					
4. Lockheed Martin Stock	B	Dividend	K	T					
5. IBM Stock	A	Dividend	K	T					
6. Principal Preferred Securities(PRFCX)	C	Dividend	L	T					
7. Nationwide Annuity		None	N	T					
8. Wells Fargo Money Market Sweep	A	Interest	J	T					
9. Wells Fargo Bank Managed Asset Account #1									
10. -ARTQX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
11. -AQMIX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
12. -CSRSX	A	Dividend	J	T	Buy	06/20/13	J		
13. -EIGMX	A	Dividend			Sold	06/17/13	J	A	
14. -FMIOX	A	Dividend			Sold	09/24/13	J	A	
15. -FTIXX	A	Int./Div.	J	T	Buy (add'l)	09/24/13	J		
16.					Sold (part)	09/12/13	J	A	
17.					Sold (part)	10/11/13	J	A	

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 H ~\$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 8

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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. -JHAIX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
19. -HACAX	A	Dividend	K	T	Buy (add'l)	06/20/13	J		
20.					Buy (add'l)	08/24/13	J		
21. -PYXIS	A	Dividend	J	T					
22. -JBGIX	A	Dividend	K	T	Buy (add'l)	06/20/13	J		
23.					Sold (part)	09/24/13	J	A	
24. -MHYIX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
25. -MGBIX	A	Dividend	K	T	Buy (add'l)	06/20/13	J		
26. -MEDIX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
27. -MWTIX	A	Dividend	K	T	Buy (add'l)	06/20/13	J		
28. -JPIVX	A	Dividend	K	T	Buy (add'l)	06/20/13	J		
29.					Sold (part)	08/17/13	J	A	
30.					Buy (add'l)	09/24/13	J		
31. -HNVIX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
32. -ODVYX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
33. -OIBYX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
34. -PTTRX	A	Dividend	K	T	Buy (add'l)	06/20/13	J		

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Williams, Kathleen M.

Date of Report

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35. -PCRIX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
36. -ORIYX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
37.					Sold (part)	09/24/13	J	A	
38. -TSPEX	A	Dividend			Sold	06/17/13	J	A	
39. -TGVIX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
40. -TIBIX	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
41. -BVAOX	A	Dividend	J	T	Buy	06/20/13	J		
42. -EGRIX	A	Dividend	J	T	Buy	06/20/13	J		
43. -NLSIX	A	Royalty	J	T	Buy	06/20/13	J		
44. (X) Hospitality 7.125%Pref.	D	Int./Div.	L	T	Buy	01/13/12	L		
45.									
46.									

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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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Williams, Kathleen M.

Date of Report

06/05/2014

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

VII. INVESTMENTS AND TRUSTS, Line 25 - was mistakenly reported as "MGFIX" and has been corrected to 'MGBIX"

VII. INVESTMENTS AND TRUSTS, Line 43 - was inadvertently omitted from 2012 reporting.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Williams, Kathleen M.

Date of Report

06/05/2014

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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