

FINANCIAL DISCLOSURE REPORT
INITIAL FILINGReport Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Richardson, Robert A.	2. Court or Organization District Court for the District of Connecticut	3. Date of Report 07/29/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 06/29/2016
7. Chambers or Office Address United States District Court Abraham Ribicoff Federal Building 450 Main Street Hartford, CT 06103		
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. Partner/ shareholder (1998 through December 2015)	Garrison, Levin-Epstein, Richardson, Fitzgerald & Pirrotti, P.C.
2. Partner (2004- present)	Just Cause, LLC, (which owns a building in New Haven, CT, and is listed in Section VII of this Report
3. Vice President (2014-15) and Executive Board member (2006 through Dec.2015)	National Employment Lawyers' Association
4. Independent (i.e., not on the Board) AAO/ EEO (1999 through 2009)	American Civil Liberties Union of Connecticut
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. Nov. 2012	Agreement for Garrison, Levin-Epstein, Richardson, Fitzgerald & Pirrotti. Set partnership terms & conditions and created buyout formula for partners who leave.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 6

Name of Person Reporting

Richardson, Robert A.

Date of Report

07/29/2016

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. 2014	Salary, including partnership distributions	\$165,760.00
2. 2015	Salary, including partnership distributions	\$116,378.00
3. 2016	Buyout (installment payment) of partnership interest	\$34,000.00
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.	
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 6

Name of Person Reporting

Richardson, Robert A.

Date of Report

07/29/2016

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.	Citizen Bank	Line of Credit* (current balance \$0)	L
2.	Liberty Bank	Mortgage for the Property owned in New Haven, CT (representing my 25% interest in Just Cause, LLC)	L
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 6

Name of Person Reporting

Richardson, Robert A.

Date of Report

07/29/2016

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. Citizens Bank	A	Interest	K	T					
2. Wells Fargo Bank		None	K	T					
3. New Haven Property co-owned by "Just Cause, LLC"		None	M	W					
4. Disney (stock)		None	J	T					
5. American Funds Equity Fund A	C	Dividend	K	T					
6. Oppenheimer Funds Capital Fund A	B	Dividend	L	T					
7. 401K* (See Section VIII for the funds in the 401K, managed by JP Morg)		None	O	V					
8. Mass Mutual (whole life insurance)		None	K	T					
9. Just Cause, LLC (New Haven, CT property) 2015 Tax Form K-1 Amount**	D	Rent	J	V					
10. Just Cause, LLC (New Haven, CT property) 2014 Tax Form K-1 Amount**	C	Rent	J	V					
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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 = \$250,000,001 - \$500,000,000	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 6

Name of Person Reporting

Richardson, Robert A.

Date of Report

07/29/2016

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

*With respect to Section VII, Box C-1 of the form, the 401K statement does not state or indicate each participant's percentage of the various funds or assets held in the 401K, insofar as the money is pooled. Therefore, I don't know the exact dollar amount that is allocated specifically to me for each fund in the account. However, in order to estimate or approximate such dollar amounts, I took the entire dollar amount of the law firm's 401K and calculated by specific percentage of the whole (i.e., my dollar amount divided by the law firm's total = "my percentage"). The administrator gave me a list of the specific assets held in the 401K and the total dollar amount of each such asset. I went line by line and took the dollar amount of each asset and multiplied it by "my percentage" in order to estimate or approximate the dollar amounts owned by me. Below is a list of each such asset and the dollar amount I calculated for each:

- *Morgan Stanley Bank NA = Value code K / Method = T (as explained above)
- *JP Morgan Core Bond A = Value code K / Method = T (as explained above)
- *JP Morgan Emerging Markets = Value Code K / Method = T (as explained above)
- *JP Morgan Equity Income A = Value Code M / Method = T (as explained above)
- *JP Morgan Government Bond A = Value Code M / Method = T (as explained above)
- *JP Morgan International Equity A = Value Code K / Method T (as explained above)
- *JP Morgan Intrepid Growth A = Value Code L / Method = T (as explained above)
- *JP Morgan Intrepid Mid Cap A = Value Code L / Method T (as explained above)
- *JP Morgan Total Return A = Value Cap M / Method T (as explained above)
- *JP Morgan U.S. Small Co. A. = Value Code L / Method T (as explained above)

**With respect to Section VII, the dollar amounts set forth in Box B-1 for lines 9 and 10 were taken from my 2014 and 2015 Tax Form K-1.

FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting

Richardson, Robert A.

Date of Report

07/29/2016

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/ Robert A. Richardson**

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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