AO 10
Rev. 1/2022

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| HALL, JANET C. | U.S. District Court (D.CT) | 4/28/2022 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| U.S. District Judge - Senior | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021 **to** 12/31/2021 |
| **7. Chambers or Office Address** | | |
| U.S. District Court<br>141 Church Street<br>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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements )*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### 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 |
|---|---|---|
| 1. | 2021 | Self-employed attorney |
| 2. | | |
| 3. | | |
| 4. | | |

## IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **HALL, JANET C.** | 4/28/2022 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

| A<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | Templeton Dragon Fund: (Note) | D | Dividend | | | Sold | 11/17/21 | J | | |
| 2. | Franklin Mutual Quest Fund | D | Dividend | N | T | Sold (part) | 05/18/21 | J | | |
| 3. | Vanguard Windsor II Fund | C | Dividend | L | T | | | | | |
| 4. | Mutual Global Discovery Fund CL2 (Note) | D | Dividend | L | T | | | | | |
| 5. | [redacted] (Note) | | None | M | W | | | | | |
| 6. | Partnership Interest in Whitney-Humphrey Assc. | | None | M | W | | | | | |
| 7. | U.S. Savings Bonds | A | Interest | J | T | | | | | |
| 8. | AXA Equitable Life Ins. Co. (Flexible Premium Universal Life Policy) | A | Interest | K | T | | | | | |
| 9. | Sound Shore Fund (Note) | G | Dividend | O | T | Sold (part) | 01/04/21 | J | A | |
| 10. | Citizens Bank | A | Interest | L | T | | | | | |
| 11. | Artisan Int'l Small Cap Investor (Note) | D | Dividend | N | T | Sold (part) | 01/04/21 | J | A | |
| 12. | Third Ave. Real Est. Value Fund | C | Dividend | K | T | | | | | |
| 13. | T. Rowe Price Cap. Appreciation Fund | F | Dividend | O | T | Sold (part) | 04/28/21 | J | B | |
| 14. | | | | | | Sold (part) | 06/29/21 | K | D | |
| 15. | `iShare MSCI Canada Index Fund | A | Dividend | J | T | Sold (part) | 01/14/21 | J | A | |
| 16. | Fidelity Cash Acct. | A | Interest | J | T | | | | | |
| 17. | Schwab Bank | A | Interest | L | T | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 | |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | | |
| | U =Book Value | V =Other | W =Estimated | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **HALL, JANET C.** | 4/28/2022 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 18. Artisan Mid-Cap Value FD | F | Dividend | N | T | | | | | |
| 19. Dodge & Cox Int'l. Stock | D | Dividend | M | T | Sold (part) | 01/04/21 | J | A | |
| 20. Storage Inn Ltd. | | None | N | W | | | | | |
| 21. Arcadia Wind Farms Energies Ltd | | None | L | W | | | | | |
| 22. Intrepid Endurance | | None | J | T | | | | | |
| 23. Schwab S&P 500 Index Fund | B | Dividend | L | T | | | | | |
| 24. iShares Russell 3000 (IMV) | A | Dividend | L | T | | | | | |
| 25. Schwab Total Stock Market | B | Dividend | M | T | | | | | |
| 26. Nicholas II Fund | D | Dividend | L | T | | | | | |
| 27. Nicholas Ltd Edition Fund | D | Dividend | L | T | | | | | |
| 28. Vanguard Scottsdale FDS Vanguard (VTWV) | A | Dividend | K | T | | | | | |
| 29. Vanguard Scottsdale FDS Vanguard Russell (VTWG) | A | Dividend | K | T | | | | | |
| 30. Vanguard Index FDS Vanguard REIT/Real Estate (VNQ) | A | Dividend | J | T | | | | | |
| 31. Vanguard Scottsdale Russell 3000 (VTHR) | A | Dividend | K | T | | | | | |
| 32. TR Price Growth Fund | E | Dividend | N | T | | | | | |
| 33. Vanguard Small Cap Fund | A | Dividend | K | T | | | | | |
| 34. Oakmark Fund | D | Dividend | O | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 | |
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|---|---|---|---|---|---|---|---|---|---|
| 35. iShares (IWF) Russell 1000 Growth Index Fund | A | Dividend | L | T | | | | | |
| 36. Schwab US MC (SCHM) | A | Dividend | K | T | | | | | |
| 37. Vanguard Total Stock Market (VTSAX) | A | Dividend | J | T | Sold (part) | 01/14/21 | J | C | |
| 38. Harbor Cap Appreciation | G | Dividend | P1 | T | Sold (part) | 05/17/21 | L | E | |
| 39. Alphabet Inc. | | None | M | T | | | | | |
| 40. Vanguard Mid Cap (VMVAX) (Note) | A | Dividend | K | T | Sold (part) | 01/14/21 | J | B | |
| 41. AIG Focused Div. Strategy | D | Dividend | N | T | | | | | |
| 42. Glenmed. Small Cap. Equity | B | Dividend | K | T | | | | | |
| 43. Vanguard Admiral S&P 500 Value (VOOR) | | None | | | Sold | 01/14/21 | J | B | |
| 44. Vanguard Value Index (VVIAX) | A | Dividend | J | T | Sold (part) | 01/14/21 | J | C | |
| 45. Amazon | | None | M | T | | | | | |
| 46. Apple | A | Dividend | K | T | | | | | |
| 47. Fidelity Cash Account | A | Interest | J | T | | | | | |
| 48. Touchstone (Note) | D | Dividend | O | T | Buy | 07/16/21 | N | | |
| 49. SPDR | A | Dividend | K | T | Buy | 07/16/21 | M | | |

| | | | | | |
|---|---|---|---|---|---|
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| | F =$50,001 - $100,000 | G =$100,001 - $1,000,000 | H1 =$1,000,001 - $5,000,000 | H2 =More than $5,000,000 | |
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| Name of Person Reporting | Date of Report |
|---|---|
| **HALL, JANET C.** | 4/28/2022 |

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

Part VII:

Line 1: This security was purchased over 30 years ago and I do not have records to determine gain. It was a loss from 1/1/21 to date sold.

Line 5: Name change.

Line 6: Passive income from sub-chapter S corporation.

Line 9: This security was purchased over many years and I do not have the records to calculate gain/loss as to these shares. I entered "C" which reflects the price at year-end 2019 ($28.96) to sale date ($41.15) as an indication of relative gain.

Line 11: This security was purchased over many years and I do not have the records to calculate gain/loss as to these shares. I entered "A" which reflects the price at year-end 2019 ($13.62) to sale date ($20.47) as an indication of relative gain.

Line 40: Fund symbol corrected.

Line 48: Stock merger

Notes Relating to 2020 Report:

Line 3: Line 3 of 2020 Report was reported as sold in part. That was an error. The reported sale was for the full position left. This bond was not held in 2021.

Line 10 & Line 40: Line 10 and Line 40 from 2020 Report were two cash "funds" reported as still open on my 2020 Report. I have now been told by my investment advisor that Schwab closed all of its "money funds" in 2019 and transferred the cash funds to "Schwab Bank," which appears in Line 24 of the 2020 Report and Line 17 in this 2021 Report.

| Name of Person Reporting | Date of Report |
|---|---|
| **HALL, JANET C.** | 4/28/2022 |

## 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
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One Columbus Circle, N.E.
Washington, D.C. 20544