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
Williams, Kathleen M.	Southern District of Florida	07/19/2022
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**
Active United States District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 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.		
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.					

Name of Person Reporting	Date of Report
Williams, Kathleen M.	07/19/2022

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.	Wells Fargo Investments	Securities Margin Loan	M
2.			
3.			
4.			
5.			

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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)	
1.	Carrier (CARR)	C	Dividend	N	T					
2.	Raytheon (RTX)	D	Dividend	N	T					
3.	Otis Worldwide (OTIS)	C	Dividend	M	T					
4.	AT&T (T)	C	Dividend	K	T					
5.	Edison (EIX)	B	Dividend	K	T					
6.	Lockheed Martin (LMT)	C	Dividend	M	T					
7.	IBM	A	Dividend	J	T					
8.	Princ Preferred Securities (PRFCX)	C	Int./Div.	M	T					
9.	Nationwide Fixed Annuity		None	O	T					
10.	Wells Fargo Money Sweep	A	Interest	K	T					
11.	WELLS FARGO MANAGED ASSET ACCOUNT HOLDINGS BELOW									
12.	FTIXX-GSachs Treasury Instruments	A	Interest	J	T	Buy	08/11/21	J		
13.	AEPFX-American Euro-Pacific Grth	A	Dividend	K	T					
14.	MFS Emerging Mkts (MEDIX)	A	Dividend			Sold	08/11/21	J	A	
15.	Diamond Hill Large Cap (DHLRX)	A	Dividend	L	T	Buy (add'l)	03/02/21	K		
16.						Sold (part)	08/11/21	K	D	
17.	Cohen & Steers Realty (CSRSX)	A	Dividend			Sold	03/02/21	J	A	

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

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Williams, Kathleen M.	07/19/2022

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18.	John Hancock FDS III (JGYIX)	A	Dividend			Sold	03/02/21	J	A	
19.	MFS Municipal Fnd (MMIIX)	A	Int./Div.			Sold	03/02/21	J	A	
20.	MFS VALUE Fnd (MEIIX)	A	Dividend			Sold	08/11/21	K	B	
21.	Noveen Mon. Trust (NUVBX)	A	Dividend	K	T					
22.	Wells Fargo Emerging Markets (EMGNX)	A	Dividend	K	T	Sold (part)	03/02/21	J	C	
23.	T. Rowe Price Mun. Funds (PRINX)	A	Interest	K	T					
24.	T. Rowe Price Mun. Inter Fnd (PRSMX)	B	Interest	L	T					
25.	T. Rowe Price Tax Free (PRFSX)	A	Interest	K	T					
26.	T. Rowe Price Blue Chip (TRBCX)	A	Dividend	L	T	Sold (part)	03/02/21	J	B	
27.	Brown Adv Small Cap (BAFSX)	A	Dividend	J	T	Sold (part)	03/02/21	J	A	
28.	Hartford Midcap (HFMIX)	A	Dividend			Sold	03/02/21	K	B	
29.	Janus Henderson Sm Cap Val (JSCOX)	A	Dividend	K	T					
30.	Wells Fargo Midcap Value	A	Dividend			Sold	03/02/21	J	A	
31.	John Hancock Small Cap Val (JCVIX)	A	Dividend	K	T	Buy	08/11/21	K		
32.	Harbor Small Cap Value (HASCX)	A	Dividend	K	T	Buy	03/02/21	K		
33.						Sold (part)	08/11/21	J	A	
34.	Mainstay Mun High Yield (MMHIX)	A	Interest	K	T	Buy	03/02/21	K		

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35. T Rowe Price Intl Overseas (TROSX)	A	Dividend	J	T	Buy	08/11/21	J		
36. Allspring Mid-Cap Value (EMGNX)	A	Dividend	K	T					

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3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

SECTION VII. INVESTMENTS AND TRUSTS
LINES 1-3: On April 3, 2020, UTX mergerd with Raytheon and spun off OTIS and CARR. UTX no longer exists.

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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/ 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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