

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) Leval, Pierre N.	2. Court or Organization U.S. Court of Appeals, 2nd Cir	3. Date of Report 07/03/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	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 40 Foley Square Rm 1901 New York, NY 10007		
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. Council member - Emeritus	The American Law Institute
2. Trustee, Executor	
3. Member - Photography Committee	Museum of Modern Art
4.	
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Leval, Pierre N.

Date of Report

07/03/2015

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.)*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. Jan-Dec.

State St. Cultural Inst. Pension Plan - pension

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 12

Name of Person Reporting

Leval, Pierre N.

Date of Report

07/03/2015

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

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

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Leval, Pierre N.

Date of Report

07/03/2015

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. Abbot Labs (common stock)(self & spouse)	D	Dividend	O	T					
2. Abbvie Inc. (common stock) (self/spouse)	E	Dividend	P1	T					
3. Exxon Mobil (common)	D	Dividend	N	T					
4. Life Technologies - Common See **** in Part VIII		None	M	V					
5. MRO	A	Dividend	J	T					
6. Daimler Chrysler (common)	A	Dividend	J	T					
7. FMC Money Mkt (Dreyfus)	A	Interest	K	T					
8. FMC Select Fund (common)	F	Dividend	P1	T					
9. FMC Select Fund (common) (see * in Part VIII)		None			Sold (part)	01/28/14	J	C	
10. " "		None			Sold (part)	02/28/14	J	A	
11. " "		None			Sold (part)	03/28/14	J	A	
12. " "		None			Buy (add'l)	04/01/14	J		
13. " "		None			Sold (part)	04/07/14	M	E	
14. " "		None			Sold (part)	04/28/14	J	C	
15. " "		None			Sold (part)	05/28/14	J	A	
16. " "		None			Sold (part)	06/09/14	K	D	
17. " "		None			Sold (part)	06/26/14	J	B	

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 12

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18. " "		None			Buy (add'l)	07/01/14	J		
19. " "		None			Sold (part)	07/28/14	J	A	
20. " "		None			Sold (part)	08/28/14	J	A	
21. " "		None			Sold (part)	09/29/14	J	A	
22. " "		None			Buy (add'l)	10/01/14	J		
23. " "		None			Sold (part)	10/28/14	J	B	
24. " "		None			Sold (part)	11/25/14	J	A	
25. " "		None			Buy (add'l)	12/23/14	K		
26. " "		None			Sold (part)	12/29/14	J	B	
27. FMC Select Fund (common)* (see * in Part VIII)		None			Buy (add'l)	04/01/14	J		
28. " "		None			Buy (add'l)	07/01/14	J		
29. " "		None			Buy (add'l)	10/01/14	J		
30. " "		None			Buy (add'l)	12/23/14	J		
31. Lincoln St. Realty (limited partnership)		None	J	W					
32. Hershey (common)(s)	C	Dividend	M	T					
33. Smith Barney Liquid Res Fund (common) (s)	B	Dividend	K	T					
34. Gen. American Inv. (common) (GAM) (s)	E	Dividend	N	T					

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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 12

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35. Chase Bank (account) [REDACTED]	A	Interest	J	T					
36. Chase Bank (account) [REDACTED]		None	L	T					
37. Citibank account		None	J	T					
38. Art Works		None	L	W					
39. Chase bank account (trust)		None	J	T					
40. Vanguard GNMA Fixed Income Fund (trust)	B	Interest	L	T					
41. FHKCX	C	Dividend	K	T					
42. FEMKX	A	Dividend	J	T					
43. FUSVX	A	Dividend	J	T					
44. FLGEX	A	Dividend	J	T					
45. HGOX	C	Dividend	K	T					
46. IHSAX	A	Dividend	K	T					
47. HNSCX	A	Dividend	J	T					
48. HIOX	A	Dividend	J	T					
49. HCACX	A	Dividend	K	T					
50. IGNCX		None	J	T					
51. VTRIX	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52. FNYXX	A	Interest	J	T					
53. VDIGX	D	Dividend	N	T					
54. Jacksonville 5.375 8/15/23	D	Interest	M	T					
55. Bd. Man. Guadalupe 5.375 8/15/27	D	Interest	M	T					
56. Detroit Mich Water 5.75 7/1/24	D	Interest	M	T					
57. Detroit Water 5.75 7/1/25	C	Interest			Sold	12/22/14	L		
58. Detroit Water 5.75 7/1/26	C	Interest	L	T					
59. Guam Pwr Bond 5.0 10/1/26	B	Interest	K	T					
60. Guam Apt Bond 5.00 10/1/23	B	Interest	L	T	Buy	01/14/14	L		
61. Guam Pwr 5.00 10/1/23	A	Interest	K	T	Buy	04/21/14	K		
62. Monroe 5.75 bond 8/15/30	D	Interest	N	T					
63. Monroe 5.75 bond 2035 8/15/35	C	Interest	L	T					
64. E. Rochester 5.00 8/15/27	C	Interest	L	T					
65. E. Rochester 5.00 4/20/27	C	Interest	L	T					
66. Kentucky 6.0 bond 10/1/19	C	Interest	L	T					
67. Michigan Hosp. bond 5.25 5/15/26	C	Interest	L	T					
68. Mississippi Dev. 6.75 12/1/33	D	Interest	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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69. Mississippi Hosp. bond 5.00 8/1/22	B	Interest	L	T					
70. NJ Bond 5.00 6/15/15 See *** in Part VIII	A	Interest			Buy	07/29/14	K		
71. " See *** in Part VIII		None			Sold	10/23/14	K		
72. NY Dorm 5.1 2/15/26 bond	D	Interest	M	T					
73. NY Dorm 6.50 8/15/30		None	K	T	Buy	10/21/14	K		
74. NY Dorm 5.0 8/1/2023	B	Interest	K	T					
75. NYS Energy 5.5 bond 1/1/21	C	Interest	L	T					
76. NYS Energy 5.15 2016	C	Interest	L	T					
77. NY Dorm 6.25 8/15/34	C	Interest	L	T					
78. NY Dorm 5.0 10/1/26	B	Interest	L	T					
79. Pima 5.0 12/15/36	C	Interest	L	T					
80. PR 5.375 7/1/25	D	Interest	M	T					
81. PR 5.5 7/1/19	D	Interest	M	T					
82. PR HSG 5.125 12/1/27	C	Interest	K	T					
83. Puerto Rico bond 4.95 7/1/26	C	Interest	L	T					
84. Virgin I bond 5.0 10/1/28	B	Interest	K	T					
85. Virgin I Pub Fin bond 4.0 10/1/22	C	Interest	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. Virgin I Pub Fin 5.0 10/1/27	C	Interest	M	T					
87. Virgin I Pub Fin 5.25 10/1/24	D	Interest	M	T					
88. Bd. Man. Guadalupe bond 5.375 8/15/27 - spouse	C	Interest	L	T					
89. Detroit 5.75 7/1/31 - [REDACTED]	B	Interest	K	T					
90. Detroit 5.75 7/1/25 - [REDACTED]	C	Interest	L	T					
91. Fresno 5.75 6/1/26 - [REDACTED]	B	Interest	K	T					
92. Guam Apt Bond 5.00 10/1/23 [REDACTED]	C	Interest	L	T	Buy	01/14/14	L		
93. Guam Pwr Bond 5.00 10/1/23 [REDACTED]	A	Interest	K	T	Buy	04/21/14	K		
94. NY MTA 5.25 4/1/14 bond - [REDACTED]	B	Interest			Redeemed	04/01/14	K		
95. Monroe Cty 5.75 2035 [REDACTED]	C	Interest	L	T					
96. Monroe Bond 5.75 8/15/30 [REDACTED] ** See Part VIII	B	Int./Div.	L	T					
97. NY Dorm 5.1 2/15/26 bond - [REDACTED]	B	Interest	K	T					
98. NY Dorm 6.25 8/15/34 [REDACTED]	B	Interest	K	T					
99. NY Dorm 5.0 10/1/26 - [REDACTED]	B	Interest	L	T					
100. NY Dorm 4.8 2025 bond [REDACTED]	B	Interest	K	T					
101. NYS Energy 5.15 2016 bond [REDACTED]	C	Interest			Redeemed	01/17/14	K		
102. NYS Urban Bond 5.00 3/15/26 [REDACTED]	B	Interest	L	T	Buy	04/03/14	L		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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103. Puerto Rico (spouse) 6.0% 7/1/18 Bond	C	Interest	L	T					
104. Puerto Rico (spouse) 4.95% 7/1/26 Bond	B	Interest	L	T					
105. RI Health 5.5 bond - 5/15/16	B	Interest	K	T	Redeemed (part)	05/15/14	J		
106. Virgin I 5.0% (spouse) 10/1/28 Bond	B	Interest	K	T					
107. Virgin I. 5.0% (spouse) 10/1/30 Bond	C	Interest	L	T					
108. New Providence Assoc. LP fund self	F	Dividend	O	T					
109. JPMorgan Tax Free Bond VANTX self	A	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

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

* The first line relating to this security reports in Column C the year's end holdings, in Column B the income received during the year from this security, and in column D any purchase or sale. Subsequent lines for the same security report additional purchases and sales. If all holdings of the security were sold, Column C is blank in all lines, reflecting the fact that I had no holdings of this security at the year's end.

** Re Line 96, this security was purchased 11/6/13 for Value Code L. It was inadvertently omitted from Report FY 2013.

*** The security listed in Lines 70 and 71 was acquired and sold in 2014. Part C is blank in both lines because the security was not held at year's end. No income is reported on Line 71 because all of the income from this holding is reported in Line 70.

**** Re security listed in Line 4 (Life Technologies), market information sources indicate this stock was absorbed on 2/4/14 by another company in exchange for a cash payment. I continue to list the security as I find no record of having tendered the security or received a cash payment.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Leval, Pierre N.

Date of Report

07/03/2015

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/ **Pierre N. Leval**

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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