

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 07/06/2017
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 01/01/2016 to 12/31/2016
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	Family members
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.	

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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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. USC Gould School of Law	02/08 - 02/10/2016	WSanta Monica, CA	Lecture	Travel/hotel
2. American Law Institute	11/09 - 11/10/2016	Philadelphia, PA	Seminar	Travel/hotel
3.				
4.				
5.				

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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.		
2.		
3.		
4.		
5.		

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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)	E	Dividend	O	T					
2. Abbvie Inc. (common stock) (self/spouse)	E	Dividend	O	T					
3. Exxon Mobil (common)	D	Dividend	N	T					
4. MRO	A	Dividend	J	T					
5. Daimler Chrysler (common)	A	Dividend	J	T					
6. FMC Money Mkt (self & spouse) (Dreyfus)	A	Interest	K	T					
7. FMC Select Fund (common) (self & spouse)	D	Dividend	O	T					
8. FMC Select Fund (common) self (see * in Part VIII)					Sold (part)	01/28/16	J	B	
9. " "					Sold (part)	03/28/16	J	A	
10. " "					Sold (part)	04/28/16	J	B	
11. " "					Sold (part)	06/28/16	J	A	
12. " "					Sold (part)	07/28/16	J	B	
13. " "					Sold (part)	09/28/16	J	A	
14. " "					Sold (part)	10/28/16	J	A	
15. " "					Sold (part)	12/28/16	J	A	
16. " "					Buy (add'l)	04/01/16	J		
17. " "					Buy (add'l)	07/01/16	J		

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 ~\$250,000,001 - \$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	

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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				
	(1) Amount Code I (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)
18. " "					Buy (add'l)	11/03/16	J		
19. " "					Buy (add'l)	12/21/16	L		
20. " "					Buy (add'l)	12/30/16	J		
21. FMC Select Fund (common)*(Spouse)(see * in Part VIII)					Buy (add'l)	04/01/16	J		
22. " "					Buy (add'l)	06/28/16	K		
23. " "					Buy (add'l)	07/01/16	J		
24. " "					Buy (add'l)	10/03/16	J		
25. " "					Buy (add'l)	12/21/16	K		
26. " "					Buy (add'l)	12/30/16	J		
27. Lincoln St. Realty (limited partnership)		None	J	W					
28. Hershey (common)(s)	C	Dividend	M	T					
29. Smith Barney Liquid Res Fund (common) (s)	B	Dividend			Sold	06/16/16	K		
30. Gen. American Inv. (common) (GAM) (s)	E	Dividend	N	T					
31. Chase Bank (account) (s)	A	Interest	J	T					
32. Chase Bank (account) (self)		None	N	T					
33. Citibank account		None	J	T					
34. Art Works		None	L	W					

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 = \$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	

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☐ 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)
35. Chase bank account (trust)		None	J	T					
36. Vanguard GNMA Fixed Income Fund (trust)	B	Interest	L	T					
37. FHKCX	A	Dividend	K	T					
38. FEMKX	A	Dividend	J	T					
39. FUSVX	C	Dividend	M	T	Buy (add'l)	04/12/16	M		
40. FLGEX	A	Dividend	J	T					
41. HGOX	B	Dividend	K	T					
42. IHSAX	B	Dividend	K	T					
43. HNSCX		None	J	T					
44. HIOCX	A	Dividend	J	T					
45. HCACX	B	Dividend	K	T					
46. IGNCX		None	J	T					
47. VTRIX	A	Dividend	J	T					
48. FNYXX	A	Interest	K	T	Sold (part)	04/12/16	M		
49. VDIGX	E	Dividend	N	T					
50. Jacksonville 5.375 8/15/23	D	Interest	M	T					
51. Bd. Man. Guadalupe 5.375 8/15/27	D	Interest	M	T					

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52. Detroit Mich Water 5.75 7/1/24	D	Interest	M	T					
53. Detroit Mich Sewer 5.250 7/1/24	B	Interest	K	T					
54. Detroit Water 5.75 7/1/26	C	Interest	L	T					
55. Guam Pwr Bond 5.0 10/1/26	B	Interest	K	T					
56. Guam Arpt Bond 5.00 10/1/23	B	Interest	L	T					
57. Guam Pwr 5.00 10/1/23	B	Interest	K	T					
58. Monroe 5.75 bond 8/15/30	E	Interest	N	T					
59. Monroe 5.75 bond 2035 8/15/35	C	Interest	L	T					
60. E. Rochester 5.00 8/15/27	C	Interest	L	T					
61. E. Rochester 5.00 4/20/27	C	Interest	L	T					
62. Kentucky 6.0 bond 10/1/19	C	Interest	K	T	Redeemed (part)	10/04/16	J		
63. Michigan Hosp. bond 5.25 5/15/26	C	Interest	L	T	Redeemed (part)	05/16/16	J		
64. Mississippi Dev. 6.75 12/1/33	D	Interest	M	T					
65. Mississippi Hosp. bond 5.00 8/1/22	B	Interest	L	T					
66. NY Dorm 5.1 2/15/26 bond	C	Interest			Redeemed (part)	02/16/16	J		
67. NY Dorm 5.1 2/15/26 bond (see * in Part VIII)					Redeemed	08/15/16	J		
68. NY Dorm 6.50 8/15/30	B	Interest	K	T					

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69. NY Dorm 5.0 8/1/2023	B	Interest			Redeemed	06/17/16	K		
70. NYS Energy 5.5 bond 1/1/21 NCW	B	Interest			Sold (part)	04/11/16	J		
71. NYS Energy 5.5 bond 8/1/21 (See * in Part VIII)					Redeemed	04/25/16	K		
72. NY Dorm 6.25 8/15/34	C	Interest	L	T					
73. NY Dorm 5.0 10/1/26	B	Interest	L	T					
74. NY Dorm 5.0 7/1/24	B	Interest	K	T					
75. NY Dorm 5.0 10/1/30 (See** in Part VIII)		None	K	T	Buy	06/21/16	K		
76. NY Dorm 5.0 10/1/28 (See** in Part VIII)		None	K	T	Buy	07/11/16	K		
77. Pima 5.0 12/15/36	C	Interest	L	T					
78. PR 5.375 7/1/25	D	Interest	M	T					
79. PR 5.5 7/1/19	D	Interest	M	T					
80. PR HSG 5.125 12/1/27	C	Interest	L	T					
81. Puerto Rico bond 4.95 7/1/26	C	Interest	M	T					
82. Puerto Rico Comm. 5.5 7/1/20	B	Interest	K	T					
83. Puerto Rico Pub Fin 6.00 8/1/26	E	Interest	K	T	Buy (add'l)	01/21/16	K		
84. Puerto Rico 5.25 7/1/22	B	Interest	L	T	Buy	03/10/16	K		
85. Puerto Rico 5.25 7/1/22 (See* in Part VIII)					Buy (add'l)	04/08/16	K		

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86. Virgin 1 bond 5.0 10/1/28	B	Interest	K	T					
87. Virgin 1 Pub Fin bond 4.0 10/1/22	C	Interest	L	T					
88. Virgin 1 Pub Fin 5.0 10/1/27	C	Interest	M	T					
89. Virgin 1 Pub Fin 5.25 10/1/24	D	Interest	M	T					
90. NY Util. Debt 5.0 12/15/32	A	Interest	K	T	Buy	08/26/16	K		
91. NY Util. Debt 5.0 12/15/36	B	Interest	K	T	Buy	04/22/16	K		
92. Bd. Man. Guadalupe bond 5.375 8/15/27 - spouse	C	Interest	L	T					
93. Detroit Sewer 5.75 7/1/31 - spouse	B	Interest	K	T					
94. Detroit Water 5.75 7/1/25 - spouse	C	Interest	L	T					
95. Fontana CA 5.0 9/1/16 spouse	B	Interest			Redeemed	09/01/16	K		
96. Fresno 5.75 6/1/26 - spouse	B	Interest	K	T					
97. Guam Arpt. Bond 5.00 10/1/23 (spouse)	B	Interest	L	T					
98. Guam Pwr Bond 5.00 10/1/23 (Spouse)	B	Interest	K	T					
99. Monroe Cty 5.75 2035 (spouse)	C	Interest	L	T					
100. Monroe Bond 5.75 8/15/30 (Spouse)	C	Interest	L	T					
101. NY Dorm 5.1 2/15/26 bond - spouse	B	Interest	K	T	Redeemed (part)	02/16/16	J		
102. NY Dorm 6.25 8/15/34 spouse	B	Interest	K	T					

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103. NYS Dorm 5.0 10/1/26 - spouse	B	Interest	L	T					
104. NYS Dorm 6.5 8/15/30 spouse	B	Interest	K	T					
105. NYS Dorm 5.0 7/1/24 spouse	B	Interest	K	T					
106. NYS Urban Bond 5.00 3/15/26 (Spouse)	B	Interest	L	T					
107. NY Twy 5.0 1/1/33 (See** in Part VIII)		None	K	T	Buy	06/24/16	K		
108. Puerto Rico (spouse) 6.0% 7/1/18 Bond	C	Interest	L	T					
109. Puerto Rico (spouse) 4.95% 7/1/26 Bond	C	Interest	L	T					
110. Puerto Rico Pub Fin (spouse) 5.125 6/1/24	B	Interest	L	T	Buy (add'l)	09/08/16	K		
111. RI Health 5.5 bond - 5/15/16 (spouse)	A	Interest			Redeemed	05/16/16	K		
112. Virgin 1 5.0% (spouse) 10/1/28 Bond	B	Interest	K	T					
113. Virgin 1. 5.0% (spouse) 10/1/30 Bond	C	Interest	L	T					
114. New Providence Assoc. LP fund self		None			Sold	07/15/16	O	G	
115. JPMorgan Tax Free Bond VANTX self	A	Interest	K	T					
116. VOO	A	Dividend	L	T	Buy	08/08/16	L		

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 ~\$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

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Name of Person Reporting

Leval, Pierre N.

Date of Report

07/06/2017

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

* This line reports only a transaction. The first line relating to this security reports income in Column B and year's end gross value in Column C.

** This bond was scheduled to pay interest (in range B) during my holding period in 2016. The interest payment due was not received in my account. I am inquiring why.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Leval, Pierre N.

Date of Report

07/06/2017

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544