

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Cabranes, Jose A.	2. Court or Organization U.S. Court of Appeals	3. Date of Report 9/18/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 141 Church Street New Haven, CT 06510		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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. Trustee	Columbia University, New York, NY
2. Trustee	William Nelson Cromwell Foundation, New York, NY
3. Member	Academic Advisory Committee of the Institute for Constitutional Studies, The George Washington University, Washington, DC
4.	Note: No income of any kind was derived from any of the positions or services or activities noted above.
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. 2011	University of Chicago Press (Royalties)
2. 2011	Thomson-West (Royalties)
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. University of Pennsylvania Law School	January 26-28, 2011	Philadelphia, PA	Judging a Moot Court	Meals, lodging and cost of transportation to and from Philadelphia, PA
2. Columbia University	March 11-12, 2011	New York, NY	Board of Trustees Committee Meeting	Meals and cost of transportation to and from New York
3. Columbia University	June 11, 2011	New York, NY	Board of Trustees Committee Meeting	Meals and cost of transportation to and from New York
4. Columbia University	October 21-22, 2011	New York, NY	Board of Trustees Committee Meeting	Meals, lodging and cost of transportation to and from New York
5. William Nelson Cromwell Foundation	November 1, 2011	New York, NY	Annual Meeting of the Trustees	Meal and cost of transportation to and from New York

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6.	Columbia University	December 9-10, 2011	New York, NY	Board of Trustees Meeting	Meals and the cost of transportation to and from New York
7.	Yale University	Various dates throughout the year	New Haven, CT	Attend or participate in varied University academic and social functions	Meals and refreshments as spouse of tenured faculty member or as a former University trustee
8.					
9.					
10.					
11.					
12.					

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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.	Gift of William Campbell, Chairman of the Board of Trustees to each of his Board colleagues	IPad II	\$599.00
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 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)

1. Fidelity Asset Manager (FASMX)	B	Dividend	L	T					
2. CT Higher Education Trust (Principal Plus Interest Option)		None	J	T					
3. CT Higher Education Trust (Principal Plus Interest Option)		None	L	T					
4. Citizens Bank Accounts	A	Interest	K	T					
5. Vanguard Money Market Account (VMSXX)	A	Interest	J	T					
6. Vanguard Life Strategy Con Growth Account (VSCGX)	C	Dividend	M	T	Sold (part)	06/06/11	K		
7.					Buy (add'l)	08/16/11	K		
8.					Buy (add'l)	09/07/11	J		
9.					Buy (add'l)	10/12/11	J		
10.					Sold (part)	12/12/11	K		
11. Wells Fargo Adv. Funds f/k/a Evergreen Serv. Co. (EACFX)	A	Dividend	J	T					
12. TIAA-CREF Annuity (vested)	D	Int./Div.	J	T					
13. TIAA-CREF Pension		None	P1	T					
14. TIAA-CREF IRA (Y)		None	K	T	Sold				See Part VIII
15. Morgan Stanley Roth IRA		None	L	T					See Part VIII
16. -AFIFX					Buy	10/13/10			
17. -MCGFX					Buy	10/13/10			

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.)

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18. -BPRAX					Buy	10/13/10			
19. -BMCSX					Buy	10/13/10			
20. -CCVIX					Buy	10/13/10			
21. -DTRIX					Buy	10/13/10			
22. -EHSTX					Buy	10/13/10			
23. -EACSX					Buy	10/13/10			
24. -HLEMX					Buy	10/13/10			
25. -IGLAX					Buy	10/13/10			
26. -IPPPX					Buy	10/13/10			
27. -JDIAX					Buy	10/13/10			
28. -JDPAX					Buy	10/13/10			
29. -PTTAX					Buy	10/13/10			
30. -RPFFX					Buy	10/13/10			
31. -TPINX					Buy	10/13/10			
32. -TGVAX					Buy	10/13/10			
33. -MH191					Sold	8/12/11			
34. -MLX57					Buy	08/12/11			

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35. -BG39E					Sold	11/18/11			
36. Hartford Life & Annuity Ins. Co. (variable life ins. policy)		None	K	T					See Part VIII
37. Nuveen MS Active Assets Tax-Free Trust		None	J	T					
38. NPI Nuveen Premium INC MUN FD (NPI)		None	L	T					
39. Nuveen Conn DV ADV Muni Preferential Rate (NFC)	C	Dividend	L	T	Buy	12/29/11	J		
40. Puerto Rico Comwlth Hwy Transnauth (CUSIP Sec. [REDACTED])		None	L	T					
41. BlackRock Muniyied Investment Preferential Rate Fund (MYF)		None	L	T					
42. Western Asset MNGD Municipals Fund (MMU)		None	L	T					
43. People's United Financial Inc. (PBCT)	B	Dividend	K	T					
44. Columbia Tax Exempt C (COLCX)		None	L	T					
45. Conn. St. General Obig. Ref. Ser-B (CUSIP [REDACTED])		None	L	T					See Part VIII

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

VII. Investments and Trusts: "Attachment A"

VII, 12: Vested annuity; income date roughly the same (Income Gain Code "D") annually since 1984 (inadvertently omitted in report for 2010).

VII, 13: [REDACTED] university pension plan since 1984.

VII, 15: Rollover of funds from [REDACTED] pension (TIAA-CREF) plan to alternate carrier (Morgan Stanley Roth IRA) on October 13, 2010 (inadvertently omitted from the report for 2010).

VII, 16: [REDACTED] cash value life insurance policy, which is part insurance and part investment, was obtained in 1998 and has been in effect since then. Initially it had no reportable "investment value." Value indicated refers to investment value of the policy as of December 31, 2011.

VII, 25: Inadvertently failed to report this purchase of a Conn. General Obligation Bond on November 6, 2009, and not reported on the reports for 2009 and 2010.

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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/ Jose A. Cabranes**

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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