

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) WINTER, RALPH K.	2. Court or Organization SECOND CIRCUIT COURT OF APPEALS	3. Date of Report 08/07/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES CIRCUIT JUDGE (SENIOR)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
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 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. PROFESSOR (ADJUNCT) OF LAW	YALE UNIVERSITY
2. TRUSTEE	BROOKLYN LAW SCHOOL
3.	
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. 2012	YALE LAW SCHOOL - PART-TIME TEACHING	\$109,399.98
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.	
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. FEDERAL BAR COUNCIL	2/3/12-2/13/12	KONA, HI	PROFESSIONAL ASSOCIATION ACTIVITY	TRANSPORTATION, LODGING, MEALS
2. BROOKLYN LAW SCHOOL	3/6/12-3/7/12	BROOKLYN, NY	BLS BOARD MEETING	TRANSPORTATION, LODGING, MEALS
3. BROOKLYN LAW SCHOOL	5/15/12-5/16/12	BROOKLYN, NY	BLS BOARD MEETING	TRANSPORTATION, LODGING, MEALS
4. ADMINISTRATIVE OFFICE OF THE UNITED STATES COURTS	6/4/12-6/6/12	NEW PALTZ, NY	SECOND CIRCUIT RETREAT	TRANSPORTATION, LODGING, MEALS

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5.	ADMINISTRATIVE OFFICE OF THE UNITED STATES COURTS	6/22/12-6/22/12	MANHATTAN, NY	MEMORIAL SERVICE FOR JUDGE ROGER J. MINER	TRANSPORTATION
6.	BROOKLYN LAW SCHOOL	7/24/12-7/26/12	BROOKLYN, NY	BLS FINANCIAL MEETING AND STRATEGIC PLANNING MEETING	TRANSPORTATION, LODGING, MEALS
7.	BROOKLYN LAW SCHOOL	9/19/12-9/20/12	BROOKLYN, NY	BLS STRATEGIC PLANNING MEETING	TRANSPORTATION, LODGING, MEALS
8.	BROOKLYN LAW SCHOOL	10/4/12-10/6/12	BROOKLYN, NY	BLS BOARD MEETING	TRANSPORTATION, LODGING, MEALS

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. TIAA-PENSION	E	Interest	O	T					
2. NUVEEN MUN. VALUE FUND	A	Interest	K	T					
3. NUVEEN PREM. INC. MUN. FD. 4	A	Interest	K	T					
4. NUVEEN DIV. ADV. MUN. FUND	A	Interest	K	T					
5. WESTERN AST INT TERM MUNI C*	C	Interest	N	T					
6. BLACK ROCK MUN. INC. TR	B	Interest	K	T					
7. CITIBANK NA SOUTH DAKOTA BANK DEPOSIT PROGRAM	A	Interest	J	T					
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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

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

* VII. INVESTMENTS and TRUSTS - 5. This appears to be a name change from LEGG MASON INTERMED-TERM MUN. FUND CLS

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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/ RALPH K. WINTER

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

United States Court of Appeals
SECOND CIRCUIT

(203) 782-3682

CLERK OF
RALPH K. WINTER
U.S. CIRCUIT JUDGE
111, D. WINTHROP
141 DUNDON STREET
NEW HAVEN, CT 06510

November 20, 2013

Marilyn J. Holmes
Interim Staff Counsel
Administrative Office of the
U.S. Courts
One Columbus Circle, N.E.
Washington, D.C. 20544

Re: Calendar Year 2012 Filing

Dear Ms. Holmes:

I raised the issue mentioned in your email with my broker. He has sent me the attached communication. I have nothing to add to it. I am faxing this to you because we do not have a scanner to convert the broker's letter to email.

If this is not satisfactory, I will do my best in seeking further clarification if possible.

Sincerely,


Ralph K. Winter
Circuit Judge

RKW/cam
Attachment

RECEIVED
2013 NOV 21 A 6:33
FINANCIAL
DISCLOSURE OFFICE

Morgan Stanley

Wealth Management
545 Long Wharf Drive 7th Fl
New Haven CT 06511
tel 203 772 9100
toll free 800 713 6605

November 8, 2013

Hon. Ralph K. Winter

Dear Judge Winter:

In 2009 Smith Barney began the process of merging with Morgan Stanley. The merger was completed in the spring of 2013. As a result of that merger the money market funds associated with all client accounts were changed from Western Asset Reserve Money Market mutual funds to others including the Citibank Bank Deposit Program which you now hold. This exchange was involuntary on your part and does not change your investment allocation in any way. Both funds are cash equivalents and are not connected to any type of equity or debt securities.

If there is need for further qualification on this please contact me at your earliest convenience.

All the best,

Ernest S. Asprey Jr.

Assistant Vice President

Financial Advisor

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2013 NOV 21 A 6 34
FINANCIAL
DISCLOSURE OFFICE