

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) Walker, John M.	2. Court or Organization United States Court of Appeals for the Second Circuit	3. Date of Report 05/09/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address US Court of Appeals : Second Circuit 157 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. 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.	Director	Dwight D. Opperman Institute of Judicial Administration
2.	Past President	Federal Judges Association
3.	Director	U.S. Association of Constitutional Law
4.	Director	Friends of CEELI
5.	Director	American Society of International Law, Judicial Advisory Board
6.	Director	Spencer Williams Foundation for Judicial Independence

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. Jan-April	Income as Lecturer, Yale Law School	\$26,250.00
2. Sep-Nov	Income as Lecturer, Yale Law School	\$26,250.00
3. Sep-Dec	Income as Lecturer, Yale Law School	\$47,500.00
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. The CEELI Institute	7/4/2011 - 7/12/2011	Prague, Czech Republic	Conference of Chief Justices of Central and Eastern Europe	Transportation, meals, lodging
2. National Committee on US-China Relations	9/14/2011-9/16/2011	Glen Cove, New York	Educational seminar	Transportation, meals, lodging
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.)*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. --COMMON STOCK--									
2. AES CORP		None			Sold	04/20/11	L		
3. ALLSTATE CORP	A	Dividend	K	T	Buy	02/10/11	K		
4. AMERICAN INT'L GROUP		None	K	T	Buy	05/16/11	K		
5. AMERICAN TOWER INC	A	Dividend	L	T	Sold (part)	05/03/11	K	D	
6. APPLE INC		None	K	T	Buy	08/12/11	K		
7. ARTIC GLACIER INC FD		None	J	T	Buy (add'l)	07/08/11	J		
8. ATHENA HEALTH INC		None	L	T					
9. AT & T INC COM	A	Dividend	J	T	Buy (add'l)	05/02/11	J		
10. BECTON DICKINSON & CO	A	Dividend			Sold	3/16/11	K	B	
11. BED BATH & BEYOND		None	L	T	Sold (part)	10/5/11	K	C	
12. BERKSHIRE HATHAWAY		None	K	T	Buy	11/7/11	K		
13. BHP BILLITON LTD SPONSORED ADR	A	Dividend			Buy (add'l)	4/4/11	J		
14.			L	T	Sold (part)	03/16/11	K	D	
15. CARMAX		None	K	T					
16. CELGENCE CORP		None	K	T					
17. CHEVRON CORP	C	Dividend	L	T	Buy (add'l)	06/10/11	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 L = \$50,001 - \$100,000	E = \$15,001 - \$50,000 M = \$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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)

18. CINCINNATI BELL INC		None	J	T	Buy	06/27/11	J		
19. CISCO SYSTEMS INC	A	Dividend	K	T	Buy (add'l)	02/25/11	J		
20. CLEAR CHANNEL OUTDOOR		None	K	T					
21. CLEAR MEDIA LTD.		None	J	T					
22. CLEARWIRE CORP		None	J	T	Buy	02/24/11	J		
23. CONCORD MEDICAL SVCS HOLDINGS ADR	A	Dividend	J	T	Buy	1/25/11	J		
24. CROWN HOLDINGS		None	K	T					
25. DENNY'S CORP		None	K	T	Buy	02/03/11	K		
26. DISCOVERY COMMUNICATIONS		None	K	T					
27. DEVON ENERGY CORP	A	Dividend	K	T	Buy	12/5/11	K		
28. ENERGY TRANSFER PARTNERS LP	A	Dividend	J	T					
29. ENSCO PLC SPONSORED ADR	A	Dividend	J	T	Buy	03/10/11	J		
30. FPIC INSURANCE GROUP INC		None			Sold	04/05/11	K	D	
31. GENERAL ELECTRIC CO	A	Dividend	J	T					
32. GLADSTONE COMM CORP	A	Dividend	J	T	Sold (part)	01/25/11	J	A	
33. GOOGLE INC		None			Buy	08/12/11	K		
34.					Sold	10/04/11	K		

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	
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35. INTERNATIONAL BUSINESS MACHINES	B	Dividend			Buy (add'l)	09/12/11	J		
36.			M	T	Sold (part)	03/16/11	L	E	
37. IRIDIUM COMMUNICATIONS		None	J	T	Buy	08/09/11	K		
38. K12 INC COM		None	L	T	Sold (part)	03/07/11	J	B	
39. KEYW HOLDING CORP		None			Buy	09/14/11	J		
40.					Sold	12/21/11	J		
41. KINDER MORGAN ENERGY PARTNERS	B	Dividend	K	T					
42. LABORATORY CORP AMER HOLDINGS		None	K	T	Buy	04/08/11	K		
43.					Sold (part)	12/13/11	K		
44. LAMAR ADVERTISING		None	J	T					
45. LOWES CO INC	B	Dividend	L	T	Buy (add'l)	06/22/11	J		
46. MARKEL CORPORATION		None	K	T					
47. MASTERCARD INC CL A	A	Dividend	K	T	Buy	08/12/11	K		
48. MICROS SYSTEMS INC		None	K	T					
49. MICROSOFT CORP	B	Dividend	L	T	Buy (add'l)	09/08/11	J		
50. MILLICOM INTERNATIONAL	B	Dividend	K	T	Sold (part)	11/10/11	J	B	
51. NEOGEN CORP		None	K	T	Buy (add'l)	03/10/11	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. NEWALTA INCOME FD TRUST UNIT	A	Dividend			Sold	08/04/11	K		
53. NOVARTIS AG SPONSORED ADR	A	Dividend	K	T	Buy (add'l)	04/08/11	J		
54. ORACLE CORPORATION	A	Dividend	L	T	Buy (add'l)	08/08/11	J		
55. PEPSICO INC	B	Dividend	L	T	Buy (add'l)	03/11/11	J		
56. PHILIP MORRIS INTL INC COM	C	Dividend	L	T	Buy (add'l)	04/11/11	J		
57. PIONEER NATURAL	A	Dividend	K	T					
58. POOL CORP	A	Dividend	K	T					
59. POZEN INC		None			Sold	10/7/11	J		
60. PRIME INFRASTRUCTURE HOLDINGS	A	Dividend	J	T					
61. PRIMO WATER CORP		None	J	T	Buy	02/01/11	J		
62. PROCTOR & GAMBLE	C	Dividend	L	T	Buy (add'l)	03/11/11	J		
63. SIX FLAGS ENTMT CORP	A	Dividend	J	T					
64. SMUCKER JM & CO	C	Dividend	L	T	Buy (add'l)	09/01/11	J		
65.					Sold (part)	12/13/11	J		
66. SOLARWINDS INC COM		None	K	T	Buy	03/10/11	K		
67. SPDR GOLD TR SHS		None			Sold	06/24/11	L	E	
68. STRAYER ED INC COM	A	Dividend			Buy (add'l)	11/7/11	K		

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69.			K	T	Sold (part)	01/19/11	K		
70. SUNRISE SENIOR LIVING INC		None	K	T	Buy	05/16/11	K		
71. SUPER MICRO COMPUTER INC		None	K	T					
72. TAIWAN SEMICONDUCTOR	B	Dividend	K	T	Buy (add'l)	07/29/11	J		
73.					Sold (part)	08/15/11	J	A	
74. THERMO FISCHER SCIENTIFIC		None			Sold	10/03/11	K		
75. TIME WARNER CABLE	A	Dividend	K	T	Buy	02/02/11	K		
76. UNITED TECHNOLOGIES CORP	A	Dividend	K	T	Buy (add'l)	09/12/11	J		
77. UNIVERSAL DISPLAY CORP		None	K	T					
78. URSTADT BIDDLE PPT A	B	Dividend	K	T					
79. VARIAN MEDICAL SYSTEMS		None	K	T	Sold (part)	12/13/11	J	A	
80. WALMART STORES INC	B	Dividend	L	T	Buy (add'l)	06/06/11	J		
81. WELLS FARGO & CO NEW	A	Dividend	L	T	Buy (add'l)	04/04/11	J		
82.					Sold (part)	12/27/11	K		
83. --CASH & EQUIVALENTS--									
84. PERSHING GOVT ACCOUNT	A	Interest	K	T					
85. FIDELITY CASH	A	Interest	K	T					

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86. DREYFUS TREASURY PRIME INV SH	A	Dividend	K	T					
87. --LIMITED PARTNERSHIP-									
88. BROOKFIELD INFRASTRUCTURE PARTNERS	B	Dividend	K	T	Buy	07/07/11	J		
89. --CORPORATE BONDS--									
90. AMERICAN EXPRESS BANK FSB 3.150%	B	Interest			Sold	10/24/11	L		
91. REDDY ICE CORP 13.25 DUE 11/1/2015	B	Interest	J	T	Buy	01/14/11	J		
92. --BANK ACCOUNTS--									
93. BANK OF AMERICA	A	Interest	K	T					
94. CITIBANK	A	Interest	J	T					
95. PEOPLES BANK	A	Interest	J	T					

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

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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/ **John M. Walker**

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