

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) Jacobs, Dennis	2. Court or Organization Court of Appeals, 2d Circuit	3. Date of Report 07/25/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	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 U.S. Courthouse 40 Foley Square, Room 2301 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.	Director	Residential Cooperative
2.		
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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

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. Muni Bond: Arizona Trans. Bd. Excise Tax Ser A 11/1/07	A	Interest			Redeemed	07/01/16	K	A	
2. Muni Bond: Metro Govt. Nashville & Davidson Co. Rfdg/Ser D	A	Interest			Redeemed	07/01/16	K	A	
3. Muni Bond: King Co. Wash Sch Dist. No 412 10/21/10	A	Interest	K	T					
4. Muni Bond: Baton Rouge LA Pub Impt. Sales Tax Ser B 9/28/10	A	Interest	K	T					
5. Muni Bond: Fort Bend Tex Flood Ctrl Water Supply 10/1/10	A	Interest	K	T					
6. Muni Bond: Ohio St. Rfdg Common Schs. Ser C 10/8/10	A	Interest	K	T					
7. Muni Bond: N. Carolina St. Grant Antic Rev. Vehicle 8/5/09	A	Interest	K	T					
8. Muni Bond: UConn. Ser A 5/25/10	A	Interest	K	T					
9. Muni Bond: Ohio St. Univ. Gen Rcpts Rfdg Ser D 10/6/10	A	Interest	K	T					
10. Muni Bond: Broward Co. Rfdg Prks Land Pres 4/10/12	A	Interest	K	T					
11. Muni Bond: S. Carolina St. Pub Svc Auth 11/10/10	A	Interest	K	T					
12. Muni Bond: Cypress-Fairbanks Tex Indpt School Dist 2/1/12	B	Interest	K	T					
13. Muni Bond: Wash St Univ Revs Gen B/E 2/23/12	B	Interest	K	T					
14. Muni Bond: Columbia SC Wtrwks & SWR 3/8/12	B	Interest	K	T					
15. Muni Bond: Orlando FLA Utils Commn Util Sys Rev Ref-C	A	Interest	K	T					
16. Muni Bond: Charlotte NC Genl Oblig Ref-A	B	Interest	K	T					
17. Muni Bond: Harbor Beach, MI Comm. Sch. Dist. Ref. 5/1/2026	A	Interest	J	T					

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 \$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	

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18. Muni Bond: Temple, TX Genl. Oblig. Ref. & Impt. Genl. Oblig. 8/1/19	A	Interest	J	T					
19. Muni Bond: City of Chicago O'Hare Intl. Airp. Non Amt. Rev Ref B	A	Interest	K	T					
20. Muni Fund: Blackrock Strat Muni Opport 1 (MAMTX)	D	Dividend	O	T					
21. Muni Fund: Deutsche Interim Tax/Amt Fr S (SCMTX)	B	Dividend	K	T					
22. Money Market: Morgan Stanley US Govt Money Market Trust	A	Int./Div.	N	T					
23. Muni Bond: Central Dauphin PA Sch Dist 02/01/28	A	Interest	J	T	Buy	05/10/16	J		
24. Muni Bond: Lancaster Cnty PA Genl Oblig Ref A 5/1/27	A	Interest	J	T	Buy	08/10/16	J		
25. Muni Bond: Lancaster Cnty PA Genl Oblig Ref A 5/21/28	A	Interest	K	T	Buy	08/10/16	K		
26. Checking: Chase Manhattan Bank NYC	A	Interest	J	T					
27. Fidelity Cash Reserves Account	A	Dividend	K	T					
28. Baron Growth Fund		None			Sold	01/21/16	L		
29. Dreyfus MidCap Fund	B	Dividend	M	T					
30. Fidelity Contrafund	A	Dividend	M	T					
31. Tweedy Browne Global Value Fund		None			Sold	01/21/16	M		
32. Blackrock Global Allocation	C	Dividend	M	T					
33. Morgan Stanley Global Long Short Fund A		None	M	T					
34. Fidelity Low Priced Stock	C	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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35. Vanguard Limited Term Tax Exempt Admiral	A	Dividend	K	T					
36. BBH Core Select Fund	B	Dividend	M	T					
37. SPDR S&P 500 ETF Trust Unit 1 Ser 1 S&P	C	Dividend	M	T					
38. Fidelity Total Mkt Indx Fid Premium Class	C	Dividend	N	T					See part VIII
39. Blackrock Strategic Muni Opportunity Fund I	D	Dividend	N	T					
40. Fidelity 500 Index Fund Premium Class	E	Dividend	O	T	Sold (part)	10/25/16	L		See Part VIII
41. Baron Growth Fund Institutional Class		None			Sold	01/21/16	M		
42. iShares S&P Small Cap ETF		None			Sold	03/08/16	L		
43. DBX ETF Trust MSCI Europe Hedged Equity		None			Buy	01/22/16	L		
44. Glenmede Large Cap Core Institutional	C	Dividend	N	T	Buy	01/22/16	M		
45. Wisdom Tree Europe Hedged Equity		None			Buy	01/22/16	L		
46. DBX ETF Trust MSCI Europe Hedged Equity		None			Sold	03/08/16	L		
47. Wisdom Tree Europe Hedged Equity		None			Sold	03/08/16	L		
48. Deutsch Intermediate Tax /Amt Free Fund In	D	Dividend	N	T	Buy	08/08/16	M		See part VIII
49. Deutsch Intermediate Tax /Amt Free Fund In					Buy (add'l)	09/09/16	M		
50. Cref Stock R3		None	M	T					

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

Line 38 & 40: : Fidelity Investments advises that as of June 14, 2016 the name "Spartan" will be removed and replaced with "Fidelity". In addition, Fidelity (formerly Spartan) Advantage will be changed to "Premium".

Line 48 & 49: The information for line 49 is the same as that for line 48 as these are one asset.

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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/ Dennis Jacobs**

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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