

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Lynch, Gerard E.                                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals, Second Circuit                                                                                                                                                                                                             | <b>3. Date of Report</b><br><br>05/14/2013                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Circuit Judge - Active                                                   | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2012<br>to<br>12/31/2012 |
| <b>7. Chambers or Office Address</b><br><br>40 Foley Square<br>New York, NY 10007                                                                                                                         |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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 of Law | Columbia University                |
| 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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|------------------------|----------------------------------------|
| 1. 1/1/12   | Columbia University    | \$26,437.33                            |
| 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. 1/1/12   | Flushing Hospital                 |
| 2. 1/1/12   | Private Practice of Psychotherapy |
| 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. SUNY Buffalo                        | Mar. 30 - Apr. 1 | Buffalo, NY     | Moot Court     | Transportation, Lodging, Meals |
| 2. Institute for Law & Economic Policy | Apr. 26 - 29     | San Juan, PR    | Conference     | Transportation, Lodging, Meals |
| 3. Cornell Law School                  | Oct. 26 - 28     | Ithaca, NY      | Moot Court     | Transportation, Lodging, Meals |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Citibank Accounts                                                                                                        | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Merrill Lynch Money Market                                                                                               | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Ameriprise Money Market                                                                                                  | B                                       | Interest                                      | M                                               | T                                         | Redeemed<br>(part)                              | 8/8/2012                | M                               |                                |                                                                   |
| 4. Blackrock NY Muni Inc. Tr.                                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Gabelli Utility Trust PFD                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. ING Savings Account                                                                                                      | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. AGIC Con. Fd.                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. ING Clarion Global Equity Fund                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. PIMCO NY Muni Fnc. Fd.                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Blackrock Global Allocation B                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Triborough BTA Bonds                                                                                                    |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Alliance Bernstein Gr./Inc. Fund A&B                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Eaton Vance Enhanced Equity Fd.                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Eaton Vance Tax Managed Global Fund                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Nuveen Municipal Value                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Oppenheimer Main St. A                                                                                                  | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. PIMCO Income Strategy Fd.                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                | See Part VIII                                                     |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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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## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                            |   |          |   |   |                    |          |   |  |               |
|--------------------------------------------|---|----------|---|---|--------------------|----------|---|--|---------------|
| 18. Putnam Int'l. Gr. Fund                 | A | Dividend | J | T |                    |          |   |  |               |
| 19. Alpine Total Dynamic Div. Fd.          | A | Dividend | J | T |                    |          |   |  |               |
| 20. Invesco Tax Free Int. Shares           | A | Dividend | J | T |                    |          |   |  |               |
| 21. Eaton Vance Floating Rate Inc. Tr.     | A | Dividend | J | T |                    |          |   |  |               |
| 22. Rochester Muni Fd. CI A                | B | Dividend | K | T |                    |          |   |  |               |
| 23. Templeton Dev. Mkt. Trust A            | A | Dividend | J | T |                    |          |   |  |               |
| 24. Rydex Inverse Govt. Long Bond Strategy |   | None     | J | T |                    |          |   |  | See Part VIII |
| 25. Franklin Utilities                     | A | Dividend | J | T |                    |          |   |  |               |
| 26. SunAmerica Focused Small Cap           |   | None     | J | T |                    |          |   |  | See Part VIII |
| 27. TIAA-CREF                              |   | None     | O | T |                    |          |   |  |               |
| 28. Franklin Income Fd. C                  | A | Dividend | J | T |                    |          |   |  |               |
| 29. ING Risk Managed Nat. Res. Fd.         | A | Dividend | J | T |                    |          |   |  |               |
| 30. Nuveen Global Fd.                      | B | Dividend | J | T |                    |          |   |  |               |
| 31. NYC Bonds                              | A | Interest | K | T | Redeemed<br>(part) | 7/2/2012 | J |  |               |
| 32. Port Authority Bonds                   | A | Interest | J | T |                    |          |   |  |               |
| 33. NYS Dorm Auth. Bonds                   | B | Interest | K | T |                    |          |   |  |               |
| 34. Hartford Corp. Apprec. Fd.             | A | Dividend | J | T |                    |          |   |  |               |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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Name of Person Reporting

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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                   |   |          |   |   |  |  |  |  |  |
|-------------------------------------------------------------------|---|----------|---|---|--|--|--|--|--|
| 35. Fidelity Adv. Div. Int'l.                                     | A | Dividend | J | T |  |  |  |  |  |
| 36. Metro Trans. Auth. NY                                         | A | Interest | J | T |  |  |  |  |  |
| 37. Lord Abbett NY T/F                                            | B | Interest | K | T |  |  |  |  |  |
| 38. PIMCO Long-term U.S. GOVT.                                    | A | Interest | J | T |  |  |  |  |  |
| 39. Putnam Amer-govt. Income FD                                   | A | Interest | J | T |  |  |  |  |  |
| 40. Columbia NY Tax Exp. Cl. A                                    | B | Interest | K | T |  |  |  |  |  |
| 41. Fidelity Adv. Govt. Income FD                                 | A | Interest | J | T |  |  |  |  |  |
| 42. Franklin U.S. Govt. Sel. FD                                   | B | Dividend | K | T |  |  |  |  |  |
| 43. Lord Abbett Short Duration Income FD                          | A | Dividend | J | T |  |  |  |  |  |
| 44. Hartford Inflation Plus FD                                    | A | Dividend | J | T |  |  |  |  |  |
| 45. Rental Property, Manhattan, New York, NY<br>(2002, \$272,500) | D | Rent     | N | R |  |  |  |  |  |
| 46. SPDR Series Trust                                             | A | Dividend | J | T |  |  |  |  |  |
| 47. Nassau County Bonds                                           | A | Interest | K | T |  |  |  |  |  |
| 48. Franklin NY Tax Free                                          | A | Interest | K | T |  |  |  |  |  |
| 49. Fidelity Adv. Strategic                                       | A | Dividend | J | T |  |  |  |  |  |
| 50. Vanguard Consumer Staples                                     | A | Dividend | J | T |  |  |  |  |  |
| 51. Vanguard Info Tech                                            | A | Dividend | J | T |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                 |   |           |   |   |     |          |   |  |  |
|-------------------------------------------------|---|-----------|---|---|-----|----------|---|--|--|
| 52. Vanguard Emerg. Mkts.                       | A | Dividend  | J | T |     |          |   |  |  |
| 53. Vanguard High Dvd. Yield                    | A | Dividend  | J | T |     |          |   |  |  |
| 54. New York, NY Ser. J Subser J1               | A | Interest  | K | T |     |          |   |  |  |
| 55. New York, NPFGRF Ser. P                     | A | Interest  | K | T |     |          |   |  |  |
| 56. Vanguard Total Stock Market ETF             | A | Dividend  | J | T |     |          |   |  |  |
| 57. Vanguard Total Bond Market ETF              | A | Dividend  | J | T |     |          |   |  |  |
| 58. Green Haven Continuous Commodity Index Fund |   | None      | J | T |     |          |   |  |  |
| 59. Nureen Int-Dur. Mun. Term Fund              |   | None      | J | T | Buy | 12/05/12 | J |  |  |
| 60. Blackrock Mun. Target Term Trust            | A | Dividend  | J | T | Buy | 08/28/12 | J |  |  |
| 61. Legg Mason Western Asset Municipal Income   | A | Dividend  | K | T | Buy | 06/29/12 | K |  |  |
| 62. Discover Bank CD                            | B | Int./Div. | L | T | Buy | 06/29/12 | L |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII. Investments and Trusts.

Line 17. Column 5. - Fund changed name; formerly PIMCO Floating Rate Strategy Fund

Line 24. Column 5. - Fund changed name; formerly Rydex Ser. Tr. Juno Fd.

Line 26. Column 5. - Fund changed name; formerly Sun America New Century Fund

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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/ Gerard E. Lynch**

**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