

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) Lynch, Gerard E.	2. Court or Organization U.S. Court of Appeals, Second Circuit	3. Date of Report 05/14/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - 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 500 Pearl Street New York, NY 10007		
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. 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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 1/1/11	Columbia University	\$26,475.00
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. 1/1/11	Flushing Hospital
2. 1/1/11	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. University of Michigan	April 10-12	Ann Arbor, MI	Moot Court	Transportation, Lodging, Meals
2. Stanford University	May 16-18	Palo Alto, CA	Lecture	Transportation, Lodging, Meals
3. American Law Institute	Oct. 28-30	Durham, NC	Conference	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.)*

	<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. Citibank Accounts	A	Interest	M	T					
2. Merrill Lynch Money Market	B	Dividend	L	T					
3. Ameriprise Money Market	B	Interest	N	T					
4. Blackrock NY Muni Inc. Tr.	A	Dividend	J	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	A	Dividend	K	T					
17. PIMCO Floating Rate Strategy FD	A	Dividend	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. 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 Ser Tr. Juno Fd.		None	J	T					
25. Franklin Utilities	A	Dividend	J	T					
26. SunAmerica New Century Fd. A		None	J	T					
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	J	T					
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					

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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. Fidelity Adv. Div. Int'l.	A	Dividend	J	T					
36. Metro Trans. Auth. NY	B	Interest	K	T	Redeemed (part)	11/15/11	K		
37. Lord Abbett NY TIF	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. C/A	A	Interest	K	T					Formerly Seligman NY Muni
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 (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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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	Buy	11/18/11	K		
55. New York, NPFGRF Ser. P	A	Interest	K	T	Buy	06/28/11	K		
56. Vanguard Total Stock Market ETF		None	J	T	Buy	01/14/11	J		
57. Vanguard Total Bond Market ETF		None	J	T	Buy	01/14/11	J		
58. Green Haven Continuous Commodity Index Fund		None	J	T	Buy	01/14/11	J		

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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/ 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
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Washington, D.C. 20544