

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) STRAUB, CHESTER J.	2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR	3. Date of Report 05/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CIRCUIT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address UNITED STATES COURTHOUSE 500 PEARL STREET 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 2015	NYS RETIREMENT SYSTEM (RETIREMENT BENEFIT)	\$6,621.00
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.	
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. **FIDELITY INVESTMENTS**									
2. BERKSHIRE HATHAWAY INC. CLASS B		None	M	T					
3. HEWLETT PACKARD COMMON	C	Dividend	K	T					
4. ENZO BIOCHEM INC COMMON		None	J	T					
5. HEALTH CARE PPTY INVS INC COMMON	C	Dividend	L	T					
6. GREAT PLAINS ENERGY - KANSAS CITY POWER & LIGHT COMMON	A	Dividend	K	T					
7. IBM COMMON	D	Dividend	M	T					
8. GENERAL ELECTRIC COMMON	A	Dividend	J	T					
9. LOCKEED MARTIN COMMON	A	Dividend	K	T					
10. EXXON COMMON	A	Dividend	J	T					
11. EQUITY COMMONWEALTH USD		None	J	T					
12. COHEN & STEERS REALTY SHARES	C	Dividend	K	T	Buy (add'l)	03/31/15	J		
13.					Buy (add'l)	06/30/15	J		
14. DEUTSCHE INTERMEDIATE TAX/AMT FREE FD	C	Dividend	L	T	Buy	01/30/15	M		
15.					Buy (add'l)	02/23/15	J		
16.					Buy (add'l)	03/25/15	J		
17.					Buy (add'l)	04/24/15	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 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	
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.					Buy (add'l)	05/22/15	J		
19.					Buy (add'l)	06/24/15	J		
20.					Buy (add'l)	07/27/15	J		
21.					Sold (part)	11/12/15	L		
22. HEWLETT PACKARD ENTERPRISE CO		None	L	T	Spinoff (from line 3)	11/02/15	L		
23. FIDELITY MUNICIPAL MONEY MARKET	A	Interest	K	T					
24. NEW YORK NY GO BDS SUBERIES 5% BOND	C	Interest	L	T					
25. METROPOLITAN TRANSN AUTH NY 5.5% BOND	C	Interest	L	T					
26. FORTESCUE METALS GROUP LTD COMMON	A	Dividend	J	T					
27. GOLDMAN SACHS GROUP INC COMMON	B	Dividend	L	T					
28. WALMART STORES INC COMMON	A	Dividend	K	T					
29. FIDELITY MUNI MM	A	Interest	K	T					
30. SPDR S&P MIDCAP 400 ETF FUND	A	Dividend	K	T					
31. FIDELITY CONTRAFUND	C	Dividend	L	T	Buy (add'l)	02/06/15	J		
32. FIDELITY LOW PRICED STOCK FUND	D	Dividend	M	T					
33. BARRON GROWTH FUND INSTL CLASS	D	Dividend	M	T	Buy (add'l)	06/25/15	J		
34. ROYCE TOTAL RETURN FUND	A	Dividend			Buy (add'l)	03/05/15	J		

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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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35.					Buy (add'l)	06/04/15	J		
36.					Sold	11/16/15	L	B	
37. TWEEDY BROWNE GLOBAL VALUE FUND	B	Dividend	K	T					
38. VANGUARD LIMITED TERM TAX EXEMPT ADMIRAL FUND	A	Interest	J	T	Buy (add'l)	01/30/15	J		
39.					Buy (add'l)	02/27/15	J		
40.					Buy (add'l)	03/31/15	J		
41.					Buy (add'l)	04/30/15	J		
42.					Buy (add'l)	05/29/15	J		
43.					Buy (add'l)	06/30/15	J		
44.					Buy (add'l)	07/31/15	J		
45. BBH CORE SELECT FUND	C	Dividend	L	T					
46. DEUTSCHE INTERMEDIATE TAX/AMT FREE FUND	D	Dividend	N	T	Buy (add'l)	01/26/15	J		
47.					Buy (add'l)	02/23/15	J		
48.					Buy (add'l)	03/25/15	J		
49.					Buy (add'l)	04/24/15	J		
50.					Buy (add'l)	05/22/15	J		
51.					Buy (add'l)	06/24/15	J		

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52.					Buy (add'l)	07/27/15	J		
53. VANGUARD INTERMEDIATE TAX EXEMPT ADMIRAL	C	Dividend	M	T	Buy	01/30/15	M		
54.					Buy (add'l)	02/27/15	J		
55.					Buy (add'l)	03/31/15	J		
56.					Buy (add'l)	04/30/15	J		
57.					Buy (add'l)	05/29/15	J		
58.					Buy (add'l)	06/30/15	J		
59.					Buy (add'l)	07/31/15	J		
60. ISHARES CORE S&P SMALL-CAP ETF	A	Dividend	K	T	Buy	11/17/15	L		
61. **CITIBANK ACCOUNTS**									
62. CHECKING		None	J	T					
63. **FIDELITY IRA ROLLOVER**									
64. MARSH & MCLENNAN COMMON	B	Dividend	L	T					
65. FIDELITY CASH RESERVES	A	Interest	N	T					
66. S&P MID CAP 400 DEP RCPTS MID CAP SPDRS	C	Dividend	M	T	Buy (add'l)	01/30/15	L		
67. TWEEDY BROWNE GLOBAL VALUE FUND	D	Dividend	M	T					
68. BARON GROWTH FUND	D	Dividend	L	T	Buy (add'l)	06/25/15	J		

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69. BLACKROCK GLOBAL ALLOC FUND	E	Dividend	M	T	Sold (part)	07/08/15	K	C	
70.					Buy (add'l)	07/17/15	J		
71. ROYCE TOTAL RETURN FUND	A	Dividend			Buy (add'l)	01/30/15	K		
72.					Buy (add'l)	03/05/15	J		
73.					Buy (add'l)	06/04/15	J		
74.					Sold	11/16/15	L	E	
75. ALPHABET INC CAP STK CL A		None	K	T					
76. ALPHABET INC CAP STK CL C		None	K	T	Sold (part)	05/15/15	J	A	
77. FIDELITY CONTRAFUND	D	Dividend	M	T	Buy (add'l)	02/06/15	J		
78. IVY ASSET STRATEGY FUND		None			Sold	01/30/15	M	E	
79. BERKSHIRE HATHAWAY INC COMMON		None			Sold	07/15/15	M	G	
80. INTEL CORP COMMON	A	Dividend	K	T					
81. JP MORGAN CHASE & CO COMMON	C	Dividend	M	T					
82. MATTHEWS CHINA FUND	C	Dividend	K	T					
83. MORGAN STANLEY GLOBAL LONG/ SHORT FUND	E	Dividend	M	T	Sold (part)	10/28/15	M		
84. APPLE INC COMMON	B	Dividend	L	T					
85. BANK OF AMERICA COMMON	A	Dividend	K	T					

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86. CANON INC ADR	A	Dividend	J	T					
87. COMPAGNIE FINANCIERE RICHEMONT ADR	A	Dividend	J	T					
88. WALT DISNEY CO COMMON	A	Dividend	J	T					
89. SCHLUMBERGER LIMITED COMMON	A	Dividend	J	T					
90. SIEMENS AG ADR	A	Dividend	J	T					
91. NOVO NORDISK ADR COMMON	A	Dividend	K	T					
92. HERZFELD CARIBBEAN BASIN FUND INC	B	Dividend	K	T					
93. BBH CORE SELECT FUND CL N	E	Dividend	M	T					
94. CEMRA INC COMMON		None	K	T					
95. SPDR S&P 500 ETF TRUST	C	Dividend	M	T					
96. FIDELITY SPARTAN TOTAL MKT INDEX FD	D	Dividend	N	T	Buy (add'l)	04/10/15	J		
97. FIDELITY SPARTAN 500 INDEX FUND ADVANTAGE	D	Dividend	N	T	Buy (add'l)	04/01/15	J		
98.					Buy (add'l)	04/10/15	J		
99.					Buy (add'l)	07/01/15	J		
100. FIDELITY LOW PRICED STOCK FUND	C	Dividend	L	T					
101. BLACKROCK STRATEGIC MUNI OPPS INSTL	E	Dividend	O	T	Buy (add'l)	01/30/15	M		
102.					Buy (add'l)	02/27/15	J		

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103.					Buy (add'l)	03/31/15	J		
104.					Buy (add'l)	04/30/15	J		
105.					Buy (add'l)	05/29/15	J		
106.					Buy (add'l)	06/30/15	J		
107.					Buy (add'l)	07/31/15	J		
108. DEUTSCHE INTERMEDIATE TAX/AMT FREE FD INST	C	Dividend	M	T	Buy (add'l)	01/26/15	J		
109.					Buy (add'l)	02/23/15	J		
110.					Buy (add'l)	03/25/15	J		
111.					Buy (add'l)	04/24/15	J		
112.					Buy (add'l)	05/22/15	J		
113.					Buy (add'l)	06/24/15	J		
114.					Buy (add'l)	07/27/15	J		
115. ISHARES CORE S&P SMALL-CAP EFT	A	Dividend	L	T	Buy	11/17/15	L		
116. **FIDELITY IRA**									
117. FIDELITY CASH RESERVES		None	J	T					
118. FIDELITY CONTRAFUND	A	Dividend	J	T	Buy (add'l)	02/06/15	J		
119.					Sold (part)	11/12/15	J	A	

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	
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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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)
120. FIDELITY LOW PRICED STOCK	A	Dividend	J	T	Buy	02/09/15	J		
121. **FIDELITY IRA**									
122. FIDELITY CASH RESERVES	A	Interest	J	T					
123. TWEEDY BROWNE GLOBAL VALUE FUND	B	Dividend	K	T					
124. BARON GROWTH FUND	B	Dividend	K	T					
125. FIDELITY CONTRAFUND	A	Dividend	J	T	Buy (add'l)	02/05/15	J		
126. BANK OF AMERICA CORP COMMON	A	Dividend	L	T					
127. FIDELITY LOW PRICED STOCK	A	Dividend	J	T	Buy	02/09/15	J		
128. **MORGAN STANLEY**									
129. MORGAN STANLEY US GOVT MM TRUST	A	Interest	J	T					
130. CHATTANOOGA TENN ELEC REV 5.0%	A	Interest			Matured	09/01/15	K		
131. NEW YORK NY SER A-1 5.0%	A	Interest	K	T					
132. HUNTSVILLE ALA RFDG & CAP SER A 4.0%	A	Interest	K	T					
133. MIAMI-DADE CNTY FLA TRAN SYS SER A 5.0%	A	Interest	K	T					
134. CALIFORNIA ST DEPT WTR RES PWR SER L 5.0%	A	Interest	J	T	Redeemed (part)	05/06/15	J		
135. CALIFORNIA ST DEPT WTR RES SER L 5.0%	A	Interest	J	T	Spinoff (from line 134)	05/06/15	J		
136. NY ST DORM AUTH ST PERS 5%	B	Interest	K	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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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)
137. OREGON ST DEPT ADMINISTRATIVE SERVICES 5%	B	Interest	K	T					
138. LUBBOCK TEX OBLIG WATERWORKS 5%	B	Interest	K	T					
139. SEATTLE WASHINGTON MUN LT & PWR REV BOND	A	Interest	K	T					
140. GEORGIA ST GENL OBLIG BOND	A	Interest	K	T					
141. CHARLOTTE NC GENL OBLIG REF-A	A	Interest	K	T					
142. HARPER CREEK MICH CMNTY SCH DIST REF		None	K	T	Buy	09/11/15	K		
143. FENTON MICH AREA PUB SCHS GENL OBLIG REF	A	Interest	J	T	Buy	01/07/15	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 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	
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

PART VII LINE 22 - ON NOVEMBER 1, 2015, HP INC., NYSE: HPQ, COMPLETED THE SPIN-OFF OF HEWLETT PACKARD ENTERPRISE COMPANY, NYSE: HPE. THROUGH THE SPIN-OFF, SHAREHOLDERS OF HPQ RECEIVED ONE SHARE OF HPE COMMON STOCK FOR EACH SHARE OF HPQ COMMON STOCK HELD AS OF THE CLOSE OF BUSINESS ON OCTOBER 21, 2015, THE RECORD DATE. ON NOVEMBER 2, 2015, SHARES OF HPE BEGAN TRADING 'REGULAR-WAY' ON NYSE.

PART VII LINE 75 & 76 - ON OCTOBER 5, 2015, GOOGLE INC. CHANGED ITS NAME TO ALPHABET INC.

PART VII LINE 134 & 135 - THE CALIFORNIA CUSIP BUREAU HAS ISSUED TWO NEW CUSIP NUMBERS FOR EACH PARTIALLY-DEFEASED MATURITY, ONE OF WHICH HAS BEEN ASSIGNED TO THE RELATED MATURITY OF THE REFUNDED BONDS, AND THE OTHER OF WHICH HAS BEEN ASSIGNED TO THE RELATED MATURITY OF THE NON-REFUNDED BONDS. THE REFUNDED BONDS WILL BE REDEEMED PRIOR TO THEIR STATED RESPECTIVE MATURITY DATES AT THE REDEMPTION PRICE OF 100% PLUS ANY ACCRUED INTEREST THEREON TO THE DATE FIXED FOR REDEMPTION.

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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/ CHESTER J. STRAUB**

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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Washington, D.C. 20544