

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 Second Circuit Court of Appeals	3. Date of Report 05/12/2014
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 1/1/2013 to 12/31/2013
7. Chambers or Office Address United States Court of Appeals for the 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.		

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.	Director	U.S. Association of Constitutional Law
3.	Director	Friends of CEELI
4.	Member	American Society of International Law, Judicial Advisory Board
5.	Director	Spencer Williams Foundation for Judicial Independence
6.	Director	International Judicial Academy

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	\$57,936.00
2. Sept-Dec	Income as Lecturer, Yale Law School	\$57,937.00
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.	
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. Dept. of State, Dept. of Justice	4/25/13-5/3/2013	Baghdad, Iraq	Investigative Judges' Workshop	Transportation, meals, lodging
2. Administrative Conference of the United States'	6/13/13-6/14-2013	Washington, DC	Plenary Session	Transportation, meals, lodging
3. Supreme Court of Montenegro/U.S. Embassy, Montenegro	6/21/13-6/27/13	Budva, Montenegro	Conference of Chief Justices of Eastern Europe/ Meeting at Embassy, Montenegro	Transportation, meals, lodging
4. CEELI Institute	7/7/13-7/9/13	Prague, Czech Republic	Annual Meeting	Transportation, meals, lodging
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	A	Dividend	K	T					
3. AFC ENTERPRISES		None							
4. ALLSTATE CORP	A	Dividend	K	T					
5. AMERICAN INT'L GROUP	A	Dividend	L	T					
6. AMERICAN TOWER INC	B	Dividend	L	T					
7. APPLE INC	A	Dividend			Buy (add'l)	02/15/13	J		
8.					Sold	03/07/13	K	A	
9. ARTIC GLACIER INC FD		None			Sold	04/03/13	J		
10. ATHENA HEALTH INC		None	M	T	Buy (add'l)	02/04/13	K		
11. AT & T INC COM	A	Dividend	J	T	Buy (add'l)	11/01/13	J		
12. BED BATH & BEYOND		None	L	T	Buy (add'l)	10/17/13	K		
13. BERKSHIRE HATHAWAY		None	L	T	Buy (add'l)	10/17/13	K		
14. BHP BILLITON LTD SPONSORED ADR	B	Dividend	K	T	Sold (part)	04/15/13	K	B	
15.					Buy (add'l)	10/17/13	K		
16. CARMAX		None	L	T					
17. CHEVRON CORP	B	Dividend	L	T	Buy (add'l)	12/10/13	K		

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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	(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. CHURCH & DWIGHT CO INC	A	Dividend	K	T	Buy	10/17/13	K		
19. CINCINNATI BELL INC		None	K	T	Buy (add'l)	03/04/13	J		
20. CLEAR MEDIA LTD.	C	Dividend			Sold	10/21/13	J		
21. CONCORD MEDICAL SVCS HOLDINGS ADR		None	K	T	Buy (add'l)	10/17/13	K		
22. CREE INC		None	J	T	Buy	10/17/13	J		
23. CROWN HOLDINGS		None	K	T					
24. DENNY'S CORP		None	L	T					
25. DEVON ENERGY CORP	A	Dividend			Buy (add'l)	04/01/13	K		
26.					Sold	04/18/13	K		
27. EL PASO PIPELINE PARTNERS LP	A	Dividend	J	T	Buy	10/17/13	K		
28. ENERGY TRANSFER PARTNERS LP	C	Dividend	L	T	Sold (part)	04/15/13	K	A	
29.					Buy (add'l)	11/14/13	K		
30. ENSCO PLC SPONSORED ADR	A	Dividend	K	T	Buy (add'l)	10/17/13	K		
31. FACEBOOK INC CL A		None	K	T	Buy (add'l)	02/04/13	J		
32. GENERAL ELECTRIC CO	A	Dividend			Sold	05/24/13	J		
33. GLADSTONE COMM CORP	A	Dividend	J	T					
34. GOOGLE INC CL A		None	K	T	Buy	10/17/13	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	
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. GREEN MTN COFFEE ROASTERS INC		None	L	T	Buy	10/17/13	L		
36. ILLUMINA INC		None	J	T	Buy	10/17/13	J		
37. INTERNAP NETWORK SERVICES		None	K	T	Buy (add'l)	08/21/13	J		
38. INTERNATIONAL BUSINESS MACHINES	B	Dividend	L	T	Buy (add'l)	12/10/13	K		
39. IRIDIUM COMMUNICATIONS		None	J	T					
40. JP MORGAN CHASE	B	Dividend	M	T	Buy (add'l)	10/31/13	K		
41. KINDER MORGAN ENERGY PARTNERS	B	Dividend	K	T	Buy (add'l)	10/17/13	K		
42. LABORATORY CORP AMER HOLDINGS		None	K	T	Sold (part)	04/15/13	K	A	
43.					Buy (add'l)	10/17/13	K		
44. LOWES CO INC	B	Dividend	M	T	Buy (add'l)	11/06/13	K		
45. MARKEL CORPORATION		None	K	T	Buy (add'l)	12/31/13	J		
46. MASTERCARD INC CL A	A	Dividend	M	T	Buy (add'l)	11/08/13	K		
47. MICROS SYSTEMS INC		None	K	T	Buy (add'l)	01/29/13	J		
48. MICROSOFT CORP	B	Dividend	M	T	Buy	09/24/13	K		
49.					Buy (add'l)	10/29/13	K		
50.					Buy (add'l)	12/12/13	K		
51. MILLICOM INTERNATIONAL	A	Dividend	K	T					

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52. NEOGEN CORP		None	L	T	Buy (add'l)	10/17/13	K		
53.					Sold (part)	11/05/13	J	A	
54. NII HOLDINGS		None			Sold	12/18/13	J		
55. NOVARTIS AG SPONSORED ADR	B	Dividend	L	T	Buy (add'l)	10/17/13	K		
56. OPKO HEALTH INC		None	J	T	Buy	10/17/13	J		
57. ORACLE CORPORATION	A	Dividend	L	T	Buy (add'l)	10/29/13	K		
58. PEPSICO INC	B	Dividend	L	T	Sold (part)	08/01/13	K	D	
59.					Buy (add'l)	10/17/13	K		
60. PHILIP MORRIS INTL INC COM	C	Dividend	L	T	Buy (add'l)	10/17/13	K		
61. PIONEER NATURAL	A	Dividend	L	T	Sold (part)	09/20/13	J	B	
62.					Sold (part)	09/23/13	J	D	
63. POOL CORP	A	Dividend			Sold (part)	02/21/13	J	A	
64.					Sold (part)	06/24/13	K	D	
65.					Sold	07/26/13	K	D	
66. POPEYES LOUISIANA KITCHEN INC		None	K	T	Spinoff (from line 3)				
67. PRIME INFRASTRUCTURE HOLDINGS		None	J	T					
68. PROCTOR & GAMBLE	B	Dividend	L	T	Buy (add'l)	11/15/13	L		

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69. QUALCOMM INC	A	Dividend	K	T	Buy	10/17/13	K		
70. REDDY ICE HOLDINGS INC		None	J	T					
71. ROSS STORES INC	A	Dividend	K	T	Buy	07/05/13	K		
72. ROYAL BANK CANADA	A	Dividend	J	T	Buy (add'l)	11/29/13	J		
73. SIX FLAGS ENTMT CORP	B	Dividend	K	T					
74. SMUCKER JM & CO	B	Dividend	L	T	Buy (add'l)	12/02/13	K		
75. SOLARWINDS INC COM		None	K	T	Sold (part)	01/30/13	J	D	
76.					Buy (add'l)	10/17/13	K		
77. SUPER MICRO COMPUTER INC		None	K	T	Buy (add'l)	02/04/13	J		
78. TAIWAN SEMICONDUCTOR	A	Dividend	K	T	Buy (add'l)	10/17/13	K		
79. TIME WARNER CABLE	B	Dividend	L	T					
80. UNITED TECHNOLOGIES CORP	A	Dividend	K	T	Buy	10/17/13	K		
81. UNIVERSAL DISPLAY CORP		None	K	T					
82. URSTADT BIDDLE PPT A	B	Dividend	K	T					
83. WALMART STORES INC	B	Dividend	L	T	Buy (add'l)	09/03/13	K		
84. WELLS FARGO & CO NEW	B	Dividend	L	T	Buy (add'l)	12/02/13	K		
85.									

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
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86. --CASH & EQUIVALENTS--									
87. PERSHING GOVT ACCOUNT	A	Interest	K	T					
88. FIDELITY CASH	A	Interest	J	T					
89. DREYFUS TREASURY PRIME INV SH	A	Dividend	N	T					
90. --LIMITED PARTNERSHIP--									
91. BROOKFIELD INFRASTRUCTURE PARTNERS	B	Dividend	K	T					
92.									
93. --BANK ACCOUNTS--									
94. BANK OF AMERICA	A	Interest	J	T					
95. CITIBANK	A	Interest	J	T					
96. PEOPLES BANK	A	Interest	J	T					
97.									

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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