

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 10/28/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2012 to 12/31/2012
7. Chambers or Office Address 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.)

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.

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.)*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	J	T	Buy	08/07/12	K		
3. AFC ENTERPRISES		None	K	T	Buy	04/20/12	J		
4. ALLSTATE CORP	A	Dividend	K	T					
5. AMERICAN INT'L GROUP		None	K	T	Buy (add'l)	09/14/12	K		
6. AMERICAN TOWER INC	A	Dividend	L	T	Sold (part)	02/15/12	J	B	
7. APPLE INC	A	Dividend	K	T	Buy (add'l)	08/17/12	J		
8.					Sold (part)	11/20/12	K	B	
9. ARTIC GLACIER INC FD		None	J	T					
10. ATHENA HEALTH INC		None	L	T	Sold (part)	05/04/12	L	E	
11. AT & T INC COM	A	Dividend	J	T	Buy (add'l)	02/01/12	J		
12.					Sold	11/20/12	K	D	
13. BED BATH & BEYOND		None	K	T	Buy (add'l)	01/10/12	J		
14.					Sold (part)	11/20/12	K	E	
15. BERKSHIRE HATHAWAY		None	K	T	Buy (add'l)	08/15/12	K		
16.					Sold (part)	11/20/12	K	B	
17. BHP BILLITON LTD SPONSORED ADR	B	Dividend	K	T	Buy (add'l)	03/13/12	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$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.					Sold (part)	11/20/12	K	B	
19. CARMAX		None	K	T					
20. CELGENCE CORP		None			Sold	05/04/12	K	D	
21. CHEVRON CORP	C	Dividend	K	T	Buy (add'l)	01/10/12	J		
22.					Sold (part)	11/20/12	L	E	
23. CINCINNATI BELL INC		None	K	T					
24. CISCO SYSTEMS INC	A	Dividend			Buy (add'l)	01/10/12	J		
25.					Sold	03/13/12	K	D	
26. CLEAR CHANNEL OUTDOOR	A	Dividend			Sold	09/28/12	J	D	
27. CLEAR MEDIA LTD.	A	Dividend	J	T					
28. CLEARWIRE CORP		None			Sold	12/20/12	J		
29. CONCORD MEDICAL SVCS HOLDINGS ADR		None	J	T					
30. CROWN HOLDINGS		None	K	T					
31. DELL INC		None			Buy	03/15/12	L		
32.					Sold	05/23/12	L		
33. DENNY'S CORP		None	K	T	Buy (add'l)	02/02/12	J		
34. DISCOVERY COMMUNICATIONS		None			Sold	03/13/12	K	D	

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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	
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. DEVON ENERGY CORP	A	Dividend	J	T	Buy (add'l)	03/06/12	K		
36.					Sold (part)	11/20/12	K		
37. ENERGY TRANSFER PARTNERS LP	B	Dividend	K	T	Buy (add'l)	02/29/12	L		
38.					Sold (part)	11/20/12	K		
39. ENSCO PLC SPONSORED ADR	A	Dividend	J	T					
40. FACEBOOK INC CL A		None	J	T	Buy	05/23/12	K		
41.					Sold (part)	11/20/12	J		
42. GENERAL ELECTRIC CO	A	Dividend	J	T					
43. GLADSTONE COMM CORP	B	Dividend	J	T					
44. INTERNAP NETWORK SERVICES		None	K	T	Buy	11/29/12	K		
45. INTERNATIONAL BUSINESS MACHINES	B	Dividend	K	T	Buy (add'l)	06/11/12	J		
46.					Sold (part)	11/20/12	K	E	
47. IRIDIUM COMMUNICATIONS		None	K	T	Buy (add'l)	03/14/12	J		
48. JP MORGAN CHASE	A	Dividend	K	T	Buy	06/11/12	L		
49.					Sold (part)	11/20/12	K	A	
50. K12 INC COM		None			Sold	07/02/12	K	C	
51. KINDER MORGAN ENERGY PARTNERS	B	Dividend	K	T	Sold (part)	11/14/12	J	B	

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52. LABORATORY CORP AMER HOLDINGS		None	K	T	Buy (add'l)	01/10/12	K		
53.					Sold (part)	11/20/12	K		
54. LAMAR ADVERTISING		None			Sold	09/25/12	J	D	
55. LOWES CO INC	B	Dividend	K	T	Buy (add'l)	01/10/12	J		
56.					Sold (part)	11/20/12	L	E	
57. MARKEL CORPORATION		None	K	T					
58. MASTERCARD INC CL A	A	Dividend	K	T	Buy (add'l)	02/08/12	L		
59.					Sold (part)	11/20/12	L	D	
60. MICROS SYSTEMS INC		None	K	T					
61. MICROSOFT CORP	B	Dividend	K	T	Buy (add'l)	01/10/12	J		
62.					Sold (part)	11/20/12	K	A	
63. MILLICOM INTERNATIONAL	B	Dividend	K	T					
64. NEOGEN CORP		None	J	T	Buy (add'l)	01/10/12	J		
65.					Sold (part)	11/20/12	K	E	
66. NII HOLDINGS		None	K	T	Buy	09/20/12	K		
67. NOVARTIS AG SPONSORED ADR	B	Dividend	J	T	Buy (add'l)	01/10/12	J		
68.					Sold (part)	11/20/12	K	B	

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69. ORACLE CORPORATION	A	Dividend	K	T	Buy (add'l)	01/10/12	J		
70.					Sold (part)	11/20/12	K	E	
71. PEPSICO INC	B	Dividend	K	T	Buy (add'l)	01/10/12	J		
72.					Sold (part)	05/04/12	J	B	
73.					Sold (part)	11/20/12	K	D	
74. PHILIP MORRIS INTL INC COM	C	Dividend	K	T	Buy (add'l)	01/10/12	J		
75.					Sold (part)	11/20/12	L	E	
76. PIONEER NATURAL	A	Dividend	K	T					
77. POOL CORP	A	Dividend	K	T	Sold (part)	04/20/12	J	A	
78. PRIME INFRASTRUCTURE HOLDINGS		None	J	T					
79. PRIMO WATER CORP		None			Sold	07/09/12	J		
80. PROCTOR & GAMBLE	C	Dividend	K	T	Buy (add'l)	01/10/12	J		
81.					Sold (part)	11/20/12	L	E	
82. REDDY ICE HOLDINGS INC		None	J	T	Buy	10/30/12	J		
83. ROYAL BANK CANADA	A	Dividend	J	T	Buy	08/31/12	J		
84. SIX FLAGS ENTMT CORP	A	Dividend	K	T					
85. SMUCKER JM & CO	B	Dividend	K	T	Buy (add'l)	01/10/12	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86.					Sold (part)	11/20/12	L	E	
87. SOLARWINDS INC COM		None	K	T	Buy (add'l)	01/10/12	J		
88.					Sold (part)	02/29/12	K	D	
89.					Sold (part)	11/20/12	K	E	
90. STRAYER ED INC COM	A	Dividend			Buy (add'l)	03/12/12	J		
91.					Sold	04/19/12	K	B	
92. SUNRISE SENIOR LIVING INC		None			Sold	08/28/12	K	D	
93. SUPER MICRO COMPUTER INC		None	J	T	Buy (add'l)	01/10/12	J		
94.					Sold (part)	11/20/12	K	C	
95. TAIWAN SEMICONDUCTOR	B	Dividend	J	T	Buy (add'l)	07/30/12	J		
96.					Sold (part)	11/20/12	K	E	
97. TIME WARNER CABLE	A	Dividend	K	T					
98. UNITED TECHNOLOGIES CORP	A	Dividend			Buy (add'l)	03/12/12	J		
99.					Sold	11/20/12	K	B	
100. UNIVERSAL DISPLAY CORP		None	K	T					
101. URSTADT BIDDLE PPT A	B	Dividend	K	T					
102. VARIAN MEDICAL SYSTEMS		None			Sold	03/12/12	K	E	

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103. WALMART STORES INC	C	Dividend	K	T	Buy (add'l)	01/03/12	J		
104.					Sold (part)	11/20/12	L	E	
105. WELLS FARGO & CO NEW	B	Dividend	K	T	Buy (add'l)	02/03/12	K		
106.					Sold (part)	11/20/12	K	B	
107.									
108. --CASH & EQUIVALENTS--									
109. PERSHING GOVT ACCOUNT	A	Interest	K	T					
110. FIDELITY CASH	A	Interest	K	T					
111. DREYFUS TREASURY PRIME INV SH	A	Dividend	K	T					
112. --LIMITED PARTNERSHIP--									
113. BROOKFIELD INFRASTRUCTURE PARTNERS	B	Dividend	K	T					
114. --CORPORATE BONDS--									
115. REDDY ICE CORP 13.25 DUE 11/1/2015		None			Merged (with line 82)	10/30/12			
116. GENERAL ELECTRIC CORP CAP MED TERM	A	Interest			Buy	02/15/12	K		
117.					Sold	05/07/12	K		
118. --BANK ACCOUNTS--									
119. BANK OF AMERICA	A	Interest	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	
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. CITIBANK	A	Interest	J	T					
121. PEOPLES BANK	A	Interest	J	T					
122.									

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.)*

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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
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One Columbus Circle, N.E.
Washington, D.C. 20544