

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Cabranes, Jose A.	2. Court or Organization U.S. Court of Appeals	3. Date of Report 08/31/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Courthouse 141 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.	Trustee	William Nelson Cromwell Foundation, New York, NY
2.	Member	Academic Advisory Committee of the Institute for Constitutional Studies, The George Washington University, Washington, DC
3.	Note:	Note: No income of any kind was derived from any of the positions or services or activities noted above.
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Cabranes, Jose A.

Date of Report

08/31/2017

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. 2016	University of Chicago Press (Royalties)
2. 2016	Thomson-West (Royalties)
3. 2016	National Constitutional Center, Philadelphia, PA (honorarium)
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. Drinker Biddle & Reath LLP	January 21-22, 2016	Washington, DC	To give remarks for the 5th Anniversary of the Barbara McDowell Foundation	Ground transportation, airfare to and from New Haven, CT and Washington, DC, and meals
2. Columbia Law School	April 7, 2016	New York, NY	To judge Moot Court Finals	Ground transportation to New Haven, CT from New York, NY
3. American Law Institute	September 14-15, 2016	Philadelphia, PA	To attend meetings of Advisers to Restatement of Foreign Relations Law of the U.S.	Meals, lodging and cost of transportation from New Haven, CT to Philadelphia, PA
4. William Nelson Cromwell Foundation	October 17, 2016	New York, NY	To attend annual business dinner meeting	Meal and transportation to New Haven, CT from New York, NY

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting	Date of Report
Cabranes, Jose A.	08/31/2017

5. Yale University	Various dates throughout the year	New Haven, CT	To attend or participate in varied University academic and social functions	Meals and refreshments as spouse of tenured faculty member and/or as a former University Trustee
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FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Cabranes, Jose A.

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08/31/2017

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.	Jay Vlock and Gail Brekke (personal hospitality)	Tickets for two to baseball game and luncheon at Yankee Stadium, NY (August 27, 2016)	\$490.00
2.	Michael Vlock & Karen Pritzker (personal hospitality)	Flight via private plane to Bermuda for visit at private home (July 8-10, 2016)	\$845.00
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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Cabranes, Jose A.

Date of Report

08/31/2017

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. TIAA BANK BROKERAGE SWEEP ACCT (X)	A	Interest	K	T					
2. BERNSTEIN DIVERSIFIED (SNDPX)	C	Dividend	M	T	Buy	12/13/16	J		
3.					Buy	12/30/16	J		
4.					Buy	12/13/16	J		
5.					Buy	12/29/16	J		
6. FIDELITY ADVISOR EMERGING MARKETS INCOME FUND CLASS I (FMKIX)	B	Dividend	K	T					
7. FRANKLIN HIGH YIELD TAX FREE INCOME FUND ADVISOR CLASS (FHYVX)	C	Dividend	L	T					
8. T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE (PRSMX)	B	Dividend	L	T					
9. TIAA CREF EMERGING MARKETS EQUITY INDEX FUND INSTL. CLASS (TEQTX)	B	Dividend	L	T	Buy	01/04/16	J		
10.					Buy	01/04/16	J		
11.					Buy	01/19/16	J		
12.					Buy	01/21/16	J		
13. THORNBURG INTERMED MUNICIPAL EQUITY INST (THMIX)	B	Dividend	L	T					
14. WELLS FARGO ULTRA SHORT TERM MUNI INCOME FD CL 1 (SMAIX)	A	Dividend	M	T	Buy	12/29/16	J		
15.					Buy	07/13/16	J		
16.					Buy	10/03/16	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Cabranes, Jose A.

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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)
17.					Buy	12/30/16	J		
18. ISHARES TR MSCI EAFE ETF (EFA)	C	Dividend	M	T	Buy	02/25/16	J		
19.					Buy	03/04/16	K		
20.					Buy	07/05/16	J		
21.					Buy	7/13/16	J		
22. ISHARES TR RUSSELL MID-CAP VALUE ETF (IWS)	B	Dividend	M	T	Sold (part)	02/23/16	K	A	
23.					Sold (part)	03/04/16	K	B	
24. ISHARES TR RUSSELL MID-CAP GROWTH ETF (IWP)	A	Dividend	K	T	Buy	01/25/16	K		
25.					Sold (part)	01/25/16	K	A	
26.					Buy	01/25/16	K		
27.					Sold (part)	01/26/16	K		
28. ISHARES TR RUSSELL 1000 VALUE ETF (IWD)	C	Dividend	M	T	Buy	10/06/16	J		
29.					Buy	03/31/16	J		
30.					Buy	06/29/16	J		
31.					Buy	03/31/16	J		
32. ISHARES TR RUSSELL 1000 GROWTH ETF (IWF)	B	Dividend	M	T					
33. ISHARES TR RUSSELL 2000 VALUE ETF(IWN)	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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34. ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	K	T					
35. ISHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	B	Dividend	L	T					
36. SPDR SER TR DOW JONES REIT ETF (RWR)	B	Dividend	K	T					
37. TIAA-CREF ANNUITY (fixed, non- variable)	C	Int./Div.	L	T					
38. TIAA-CREF PENSION	E	Int./Div.	P1	T					
39. -TIAA Traditional	F	Int./Div.	P1	T					
40. -T-C Intl Eq.Inst (THIEX)	A	Int./Div.	K	T					
41. -TIAA Real Estate (QREARX)	B	Int./Div.	M	T					
42. -T-C Lifecycle 2015-Inst (TCNIX)	A	Int./Div.	J	T					
43. TIAA-CREF ROTH IRA	B	Int./Div.	M	T					
44. -TIAA-CREF REAL ESTATE MUTUAL FUND									
45. Hartford Life & Annuity Co. (Variable Life Ins. Policy)	A	Int./Div.	L	T					
46. -PVT Growth & Income	A	Int./Div.	K	T					
47. -HLS Stock	A	Int./Div.	K	T					
48. Citizens Bank Accounts	A	Interest	K	T					
49. Vanguard Life Strategy Conservative Portfolio (VSCGX)	C	Dividend	M	T	Buy	08/04/16	K		
50.					Buy	08/12/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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51.					Buy	09/12/16	J		
52.					Buy	10/11/16	J		
53.					Buy	12/01/16	J		
54. ISHARES TR RUSSELL MID-CAP ETF (IWR)	A	Dividend			Sold	01/25/16	K	A	

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Cabranes, Jose A.

Date of Report

08/31/2017

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Cabranes, Jose A.

Date of Report

08/31/2017

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/ **Jose A. Cabranes**

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