

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Jacobs, Dennis                                                                                                                       | <b>2. Court or Organization</b><br><br>Court of Appeals, 2d Circuit                                                                                                                                                                                                                      | <b>3. Date of Report</b><br><br>05/05/2016                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Circuit Judge - Active                                                        | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>U.S. Courthouse<br>40 Foley Square, Room 2301<br>New York, NY 10007                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|                              |                         |
|------------------------------|-------------------------|
| 1. Director and co-president | Residential Cooperative |
| 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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Name of Person Reporting

Jacobs, Dennis

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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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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Muni Bond: NYSt. Thruway Auth. 2nd Highway & Bridge 9/8/05                                                               | A                                       | Interest                                      |                                                 |                                           | Matured                                         | 04/01/15                | K                               |                                |                                                                   |
| 2. Muni Bond: NYSt. Thruway Auth. 2nd Highway & Bridge 9/8/05                                                               | B                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 10/01/15                | K                               |                                |                                                                   |
| 3. Muni Bond: NYC G/O Ser. O 6/2/05                                                                                         | B                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 06/01/15                | K                               |                                |                                                                   |
| 4. Muni Bond: NYC G/O Ser C 8/3/05                                                                                          | B                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 09/14/15                | K                               |                                |                                                                   |
| 5. Muni Bond: NYSt. Thruway Gen Rev Ser H 10/11/07                                                                          |                                         | None                                          |                                                 |                                           | Matured                                         | 01/02/15                | K                               |                                |                                                                   |
| 6. Muni Bond: Tampa FL Sales Tax Rev Rfdg 10/6/10                                                                           | A                                       | Interest                                      |                                                 |                                           | Matured                                         | 10/01/15                | K                               |                                |                                                                   |
| 7. Muni Bond: Arizona Trans. Bd. Excise Tax Ser A 11/1/07                                                                   | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Muni Bond: Metro Govt. Nashville & Davidson Co. Rfdg/Ser D                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Muni Bond: King Co. Wash Sch Dist. No 412 10/21/10                                                                       | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Muni Bond: Baton Rouge LA Pub Impt. Sales Tax Ser B 9/28/10                                                             | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Muni Bond: Fort Bend Tex Flood Ctrl Water Supply 10/1/10                                                                | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Muni Bond: Ohio St. Rfdg Common Schs. Ser C 10/8/10                                                                     | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Muni Bond: N. Carolina St. Grant Antic Rev. Vehicle 8/5/09                                                              | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Muni Bond: UConn. Ser A 5/25/10                                                                                         | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Muni Bond: Ohio St. Univ. Gen Rcpts Rfdg Ser D 10/6/10                                                                  | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Muni Bond: Broward Co. Rfdg Prks Land Pres 4/10/12                                                                      | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Muni Bond: S. Carolina St. Pub Svc Auth 11/10/10                                                                        | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                        |   |           |    |   |             |          |   |  |  |
|------------------------------------------------------------------------|---|-----------|----|---|-------------|----------|---|--|--|
| 18. Muni Bond: Cypress-Fairbanks Tex Indpt School Dist 2/1/12          | B | Interest  | K  | T |             |          |   |  |  |
| 19. Muni Bond: Wash St Univ Revs Gen B/E 2/23/12                       | B | Interest  | K  | T |             |          |   |  |  |
| 20. Muni Bond: Columbia SC Wtrwks & SWR 3/8/12                         | B | Interest  | K  | T |             |          |   |  |  |
| 21. Muni Bond: Orlando FLA Utils Commn Util Sys Rev Ref-C              | A | Interest  | K  | T |             |          |   |  |  |
| 22. Muni Bond: Charlotte NC Genl Oblig Ref-A                           | B | Interest  | K  | T |             |          |   |  |  |
| 23. Muni Bond: Harbor Beach, MI Comm. Sch. Dist. Ref. 5/1/2026         | A | Interest  | J  | T | Buy         | 01/12/15 | J |  |  |
| 24. Muni Bond: Temple, TX Genl. Oblig Ref. & Impt. Genl. Oblig. 8/1/19 |   | None      | J  | T | Buy         | 09/25/15 | J |  |  |
| 25. Muni Bond: City of Chicago O'Hare Intl. Airp. Non Amt. Rev Ref B   |   | None      | K  | T | Buy         | 10/09/15 | K |  |  |
| 26. Muni Fund: Blackrock Strat Muni Opport 1 (MAMTX)                   | E | Dividend  | O  | T | Buy (add'l) | 02/09/15 | N |  |  |
| 27. Muni Fund: Deutsche Interim Tax/Amt Fr S (SCMTX)                   | B | Dividend  | L  | T |             |          |   |  |  |
| 28. Money Market: Morgan Stanley US Govt Money Market Trust            | A | Int./Div. | N  | T |             |          |   |  |  |
| 29. Checking: Chase Manhattan Bank NYC                                 | A | Interest  | K  | T |             |          |   |  |  |
| 30. Third Federal Savings & Loan Certificate of Deposit                | A | Interest  |    |   | Matured     | 01/26/15 | M |  |  |
| 31. Bank United Certificate of Deposit                                 | A | Interest  |    |   | Matured     | 01/20/15 | M |  |  |
| 32. Fidelity Rollover IRA                                              | G | Int./Div. | P1 | T |             |          |   |  |  |
| 33. -- Fidelity Cash Reserves                                          |   |           |    |   |             |          |   |  |  |
| 34. -- Baron Growth Fund                                               |   |           |    |   |             |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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Name of Person Reporting

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                    |  |  |  |  |             |          |   |  |  |
|----------------------------------------------------|--|--|--|--|-------------|----------|---|--|--|
| 35. -- Royce Total Return Fund                     |  |  |  |  | Sold        | 11/24/15 | L |  |  |
| 36. -- Dreyfus MidCap Fund                         |  |  |  |  |             |          |   |  |  |
| 37. -- Bond: Fedl Home Ln Bks 02/13/15             |  |  |  |  | Matured     | 02/13/15 | K |  |  |
| 38. -- Fidelity Contrafund                         |  |  |  |  |             |          |   |  |  |
| 39. -- Tweedy Browne Global Value Fund             |  |  |  |  |             |          |   |  |  |
| 40. -- Blackrock Global Allocation                 |  |  |  |  |             |          |   |  |  |
| 41. --Ivy Asset Strategy Fund CL 1                 |  |  |  |  | Sold        | 01/30/15 | M |  |  |
| 42. -- Morgan Stanley Global Long Short Fund A     |  |  |  |  |             |          |   |  |  |
| 43. -- Fidelity Low Priced Stock                   |  |  |  |  |             |          |   |  |  |
| 44. -- Vanguard Limited Term Tax Exempt Admiral    |  |  |  |  |             |          |   |  |  |
| 45. -- BBH Core Select Fund                        |  |  |  |  |             |          |   |  |  |
| 46. -- SPDR S&P 500 ETF Trust Unit 1 Ser 1 S&P     |  |  |  |  |             |          |   |  |  |
| 47. --Sprtn Total Mkt Indx Fid Advantage Class     |  |  |  |  | Buy (add'l) | 01/30/15 | K |  |  |
| 48. -- Blackrock Strategic Muni Opportunity Fund 1 |  |  |  |  | Buy (add'l) | 01/30/15 | M |  |  |
| 49. -- Spartan 500 Index Fund Adv. Class           |  |  |  |  | Buy (add'l) | 01/30/15 | N |  |  |
| 50. -- Baron Growth Fund Institutional Class       |  |  |  |  |             |          |   |  |  |
| 51. --iShares S&P Small Cap ETF                    |  |  |  |  | Buy         | 11/24/15 | L |  |  |

|                                                  |                                                                                       |                                                        |                                                              |                                                                                          |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                              | T = Cash Market                                                                          |                         |

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
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|                           |   |          |   |   |  |  |  |  |  |
|---------------------------|---|----------|---|---|--|--|--|--|--|
| 52. TIAA-CREF             | A | Dividend | M | T |  |  |  |  |  |
| 53. -- Cref Stock Account |   |          |   |   |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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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/ **Dennis Jacobs**

**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