

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) JACOBS, DENNIS	2. Court or Organization Court of Appeals, 2d Circuit	3. Date of Report 04/17/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U. S. Courthouse 40 Foley Square, Room 2301 New York, N.Y. 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director	Residential Cooperative
2.		
3.		
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.		

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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. Muni Bond: NYS Dorm Au Rev Upstate CNMTY 3/3/05	B	Interest	K	T					
2. Muni Bond: NYC G/O Ser E Ref FSA 11/10/04	B	Interest	K	T					
3. Muni Bond: NYSt. Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	K	T					
4. Muni Bond: NYSt. Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	K	T					
5. Muni Bond: NYC G/O Ser.O 6/2/05	B	Interest	K	T					
6. Muni Bond: NYC G/O Ser C 8/3/05	B	Interest	K	T					
7. Muni Bond: NYSt, Thruway Gen Rev Ser H 10/11/07	B	Interest	K	T					
8. Muni Bond: NYS UDC ST Pers Income Tax 10/9/03	C	Interest			Redeemed	03/15/13	L		
9. Muni Bond: Metro Govt. Nashville & Davidson Co. Elec. 3/1/01	A	Interest	K	T					
10. Muni Bond: Tampa FL Sales Tax Rev Rfdg 10/6/10	A	Interest	K	T					
11. Muni Bond: Arizona Transp. Bd. Excise Tax Ser A 11/1/07	A	Interest	K	T					
12. Muni Bond: Metro Govt. Nashville & Davidson Co. Rfdg./Ser D	A	Interest	K	T					
13. Muni Bond: King Co. Wash Sch Dist. No 412 10/21/10	A	Interest	K	T					
14. Muni Bond: Baton Rouge LA Pub Impt. Sales Tax Ser B 9/28/10	A	Interest	K	T					
15. Muni Bond: Fort Bend Tex Flood Ctrl Water Supply 10/1/10	A	Interest	K	T					
16. Muni Bond: Ohio St. Rfdg Common Schs. Ser C 10/8/10	A	Interest	K	T					
17. Muni Bond: N. Carolina ST. Grant Antic Rev Vehicle 8/5/09	A	Interest	K	T					

1 Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3 Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (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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	(1) Amount Code I (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. Muni Bond: UConn. Ser A 5/25/10	A	Interest	K	T					
19. Muni Bond: Ohio St. Univ. Gen Rcpts Rfdg Ser D 10/6/10	A	Interest	K	T					
20. Muni Bond: Broward Co. Rfdg Prks Land Pres. 4/10/12	A	Interest	K	T					
21. Muni Bond: S. Carolina St. Pub Svc Auth 11/10/10	A	Interest	K	T					
22. Muni Bond: Cypress-Fairbanks Tex Indpt School Dist 2/1/12	A	Interest	K	T					
23. Muni Bond: Wash St Univ Revs Gen B/E 2/23/12	A	Interest	K	T					
24. Muni Bond: Columbia SC Wtrwks & SWR 3/8/12	A	Interest	K	T					
25. Muni Bond: Orlando Fla Utils Commn Util Sys Rev Ref-C	A	Interest	K	T	Buy	02/07/13	K		
26. Money Market: Morgan Stanley US Govt Money Market Trust	A	Int./Div.	N	T					
27. Checking: Chase Manhattan Bank, NYC	A	Interest	K	T					
28. Third Federal Savings & Loan Certificate of Deposit	D	Interest	M	T					
29. BankUnited Certificate of Deposit (X)	C	Interest	M	T	Open	07/20/11	M		See Part VIII
30. BankUnited Certificate of Deposit (X)	C	Interest	M	T	Open	07/20/11	M		See Part VIII
31. Fidelity Rollover IRA	G	Int./Div.	P1	T					
32. - Fidelity Cash Reserves									
33. - Baron Growth Fund									
34. - Royce Total Return Fund									

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. - Dreyfus Mid-Cap Fund									
36. - Bond: Fedl Home Ln Bks Gbl 9/16/13					Redeemed	09/16/13	L		
37. - Bond: Fedl Home Ln Bks 02/13/15									
38. - Fidelity Contrafund									
39. - Tweedy Browne Global Value Fund									
40. - Bond: Fedl Farm Credit Bks Const 6/4/18					Redeemed	06/04/13	L		
41. - Blackrock Global Allocation									
42. - Pimco Total Return Instl					Sold	06/18/13	M		
43. - Ivy Asset Strategy Fund CL 1									
44. - Morgan Stanley Global Long/Short Fund A									
45. - Templeton Global Bond Advisor Class					Sold	09/26/13	M		
46. - Fidelity Low Priced Stock									
47. - Blackrock Equity Dividend FD-Inst									
48. - Vanguard Intermediate Tax Exempt Admiral					Sold	06/18/13	L		
49. - Vanguard Limited Term Tax Exempt Admiral					Sold (part)	08/22/13	N		
50. - BBH Core Select Fund									See Part VIII
51. - JP Morgan Large Cap Growth Select Class					Sold	03/11/13	M		See Part VIII

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52. - SPDR S&P 500 ETF Trust Unit 1 Ser 1 S&P					Buy	03/11/13	M		
53. - Sprtn Total Mkt Indx Fid Advantage Class					Buy	06/18/13	M		
54. TIAA-CREF	A	Dividend	M	T					
55. - CREF Stock Account									

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VIII. ADDITIONAL INFORMATION OR EXPLANATION

Part VII Investments and Trusts:

Line 29 & Line 30: [REDACTED] inherited two BankUnited Certificates of Deposit i deposited into the Estate of the deceased. In 2012 the income from each of the have been included in both the 2011 and 2012 Financial Disclosure Reports. T

Line 50: BBH Core Select Fund. In the 2012 FDR this appeared on two separ consolidated this asset into a single line.

Line 51: JP Morgan Large Cap Growth Select Class. In the 2012 FDR this ap different dates. I have consolidated this asset into a single line for the total sale

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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
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Washington, D.C. 20544