

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 7/26/2019
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 01/01/2018 to 12/31/2018
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.		

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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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	University of Chicago Press (Royalties)
2. 2018	Thomson-West (Royalties)
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. William Nelson Cromwell Foundation	October 15, 2018	New York, NY	To attend annual business dinner meeting	Meal and transportation from New Haven, CT to New York, NY, and return
2. 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
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.)

	<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 (May 28, 2018)	\$500.00
2.			
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.			

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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. TIAA BANK BROKERAGE SWEEP ACCT (X)	A	Interest	K	T					
2. BERNSTEIN DIVERSIFIED (SDNXP)	B	Dividend	M	T	Buy	03/29/18	J		
3.		Dividend	M	T	Buy	07/11/18	J		
4.		Dividend	M	T	Buy	10/14/18	J		
5.		Dividend	M	T	Buy	06/26/18	J		
6.		Dividend	M	T	Buy	07/27/18	J		
7. FIDELITY SUMMER STR TR NEW-NEW MKTS INC 1 (FGZMX)	A	Dividend	K	T	Merged (with line 9)	12/10/18	K		
8.		Dividend	K	T	Sold (part)	12/14/18	J		
9. FIDELITY ADVISOR EMERGING MARKETS INCOME FUND CLASS 1 (FMKIX)	B	Dividend	K	T	Buy	6/26/18	J		
10.		Dividend	K	T	Buy	07/22/18	J		
11.		Dividend	K	T	Buy	08/09/18	J		
12. FRANKLIN HIGH YIELD TAX FREE INCOME FUND ADVISOR CLASS (FHYVX)	C	Dividend	L	T					
13. T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE (PRSMX)	B	Dividend	L	T					
14. TIAA CREF EMERGING MARKETS EQUITY INDEX FUND INSTL. CLASS (TEQLX)	B	Dividend	L	T					
15. THORNBURG INTERMED MUNICIPAL EQUITY INST (THMIX)	B	Dividend	L	T					
16. WELLS FARGO ULTRA SHORT TERM MUNI INCOME FD CL 1 (SMAIX)	A	Dividend	M	T	Buy	01/02/18	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	C = \$2,501 - \$5,000 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	D = \$5,001 - \$15,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	E = \$15,001 - \$50,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
2. Value Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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 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	07/11/18	J		
18.					Buy	07/16/18	J		
19.					Buy	07/26/18	J		
20. ISHARES TR MSCI EAFE ETF (EFA)	C	Dividend	M	T	Buy	07/16/18	J		
21.					Buy	10/03/18	J		
22.					Buy	12/11/18	J		
23.					Sold (part)	12/10/18	J		
24.					Sold (part)	12/11/18	J		
25.					Sold (part)	12/11/18	J		
26. ISHARES TR RUSSELL MID-CAP VALUE ETF (IWS)	B	Dividend	M	T	Buy	09/28/18	J		
27.					Buy	12/12/18	J		
28.					Buy	12/24/18	J		
29.					Buy	12/26/18	J		
30. ISHARES TR RUSSELL MID-CAP GROWTH ETF (IWP)	A	Dividend	K	T					
31. ISHARES TR-JPMORGAN USD EMG (EMB)	A	Dividend	J	T	Buy	12/14/18	J		
32. ISHARES TR RUSSELL 1000 VALUE ETF (IWD)	C	Dividend	M	T	Buy	03/29/18	J		
33.					Buy	07/16/18	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 \$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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34.					Buy	12/24/18	J		
35.					Buy	12/26/18	J		
36. ISHARES TR RUSSELL 1000 GROWTH ETF (IWF)	B	Dividend			Sold (part)	07/16/18	J		
37.			M	T	Sold (part)	07/26/18	K		
38. ISHARES TR RUSSELL 2000 VALUE ETF(IWN)	A	Dividend	K	T					
39. ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	L	T					
40. ISHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	B	Dividend	K	T					
41. SPDR SER TR DOW JONES REIT ETF (RWR)	B	Dividend	K	T					
42. Nuveen High Yield Municipal Bond (NHMRX)	B	Int./Div.	L	T					
43. TIAA-CREF ANNUITY (fixed, non- variable)	C	Int./Div.	L	T					
44. TIAA-CREF PENSION	E	Int./Div.	P1	T					
45. -TIAA Traditional	F	Int./Div.	P1	T					
46. -T-C Intl Eq.Inst (TIEEX)	A	Int./Div.	K	T					
47. -TIAA Real Estate (QREARX)	B	Int./Div.	M	T					
48. -T-C Lifecycle 2015-Inst (TCNIX)	A	Int./Div.	J	T					
49. TIAA-CREF ROTH IRA	B	Int./Div.	M	T					
50. -TIAA-CREF REAL ESTATE MUTUAL FUND									

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51. VANGUARD TAX MANAGED INTL FD-TRSE DEV MKT ETF (VEA)	A	Dividend	J	T	Buy	12/10/18	J		
52. CITIZENS BANK ACCOUNTS	A	Interest	K	T					
53. VANGUARD LIFE STRATEGY CONSERVATIVE Portfolio (VSCGX)	C	Dividend	M	T	Buy	05/15/18	K		
54.					Buy	08/31/18	K		
55.					Buy	09/04/18	K		
56.					Sold (part)	09/12/18	K		
57.					Buy	12/24/18	K		
58.					Sold (part)	12/31/18	K		
59. VANGUARD BROKERAGE ACCOUNT			K	T	Buy	05/11/18	K		
60. - VBTIX	A	Dividend	J	T	Buy	05/11/18	J		
61. - VTABX	A	Dividend	J	T	Buy	05/11/18	J		
62. - VTIAIX	A	Dividend	J	T	Buy	05/11/18	J		
63. - VTSAX	A	Dividend	J	T	Buy	05/11/18	J		

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

Part VII. Investments and Trusts, Line 7:

FGZMX was acquired via a merger of funds by Fidelity. The acquiring of FGZMX was the result of the Fidelity Advisor Emerging Markets Income Fund (FMKIX) being merged into the Fidelity New Markets Income Fund.

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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/ 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