

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/05/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address 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. 2015	University of Chicago Press (Royalties)
2. 2015	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. Skadden Arps Slate Meagher & Flom	March 24, 2015	New York, NY	To deliver the Leslie H. Arps Memorial Lecture	Transportation from New Haven, CT to and from New York, NY
2. American Law Institute	October 8-9, 2015	New York, NY	To attend meetings of Advisers Committee	Meals, lodging and cost of transportation from New Haven, CT to New York, NY
3. Columbia University	October 9, 2015	New York, NY	To attend dinner honoring former Trustees of Columbia University	Meal and transportation to New Haven, CT from New York, NY
4. 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 or as a former University Trustee
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.	Carlos and Yvonne Ortiz; Carlos Ortiz is General Counsel of Goya Foods (personal hospitality)	Tickets for four to baseball game at Yankee Stadium, New York (July 21, 2015)	\$780.00
2.	Jay Vlock & Gail Brekke (personal hospitality)	Tickets for two to baseball game and luncheon at Yankee Stadium, NY (Aug. 4, 2015)	\$470.00
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.			

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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. Vanguard Life Strategy Conservative Portfolio (VSCGX)	C	Dividend	L	T	Sold (part)	04/07/15	J		
2.					Sold (part)	04/21/15	J		
3.					Sold (part)	05/14/15	K		
4. Bernstein Diversified Municipal Portfolio Fund Advisor Class (SNDPX)	B	Dividend	L	T	Sold (part)	07/02/15	J		
5. Fidelity Advisor Emerging Markets Income Class I	A	Dividend	J	T					
6. Franklin High Yield Tax Free Income Fund Advisor Class	B	Dividend	K	T					
7. iShares TR MSCI EAFE ETF (EFA)	A	Dividend	K	T	Sold (part)	01/02/15	J		
8. iSHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	A	Dividend	K	T					
9. iSHARES TR RUSSELL 1000 GROWTH ETF (IWF)	A	Dividend	L	T					
10. iSHARES TR RUSSELL 1000 VALUE ETF (IWD)	A	Dividend	L	T					
11. iSHARES TR RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	K	T					
12. iSHARES TR RUSSELL 2000 VALUE ETF (IWN)	A	Dividend	K	T					
13. iSHARES TR RUSSELL MID-CAP ETF (IWR)	A	Dividend	K	T					
14. iSHARES TR RUSSELL MID-CAP VALUE ETF (IWS)	B	Dividend	L	T					
15. SPDR SER TR DOW JONES REIT ETF (RWR)	A	Dividend	K	T					
16. T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE (PRSMX)	A	Dividend	K	T					
17. THORNBURG INTERMED MUNICIPAL NATIONAL (THMIX)	A	Dividend	K	T					

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 –\$250,000.01 - \$500,000.00	K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	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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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)

18. TIAA CREF EMERGING MARKETS EQUITY INDEX FUND INSTITUTION (TEQLX)	A	Dividend	K	T					
19. WELLS FARGO ADVTG ULTRA SHORT-TERM MUNI INCOME FD CL A (SMAVX)	A	Dividend	L	T					
20. TIAA-CREF Annuity (fixed, non-variable)	C	Int./Div.	L	T					
21. TIAA-CREF PENSION	E	Int./Div.	P1	T					
22. -TIAA Traditional	F	Int./Div.	P1	T					
23. -T-C Intl Eq-Inst-THIEX	A	Int./Div.	K	T					
24. TIAA Real Estate-QREARX	B	Int./Div.	M	T					
25. T-C Lifecycle 2015-Inst- TCNIX	A	Int./Div.	J	T					
26. TIAA CREF ROTH IRA	B	Int./Div.	M	T					
27. -TIAA CREF REAL ESTATE MUTUAL FUND									
28. Hartford Life & Annuity Co. (Variable Life Ins. Policy)	A	Int./Div.	L	T					
29. -PVT Growth & Income	A	Int./Div.	K	T					
30. -HLS Stock	A	Int./Div.	K	T					
31. Citizens Bank Accounts	A	Interest	K	T					

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/ 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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