

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 05/08/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address U. S. Courthouse 500 Pearl Street 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. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	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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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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Alexander S. Onassis Public Benefit Foundation	Museum Replica of a Cycladic Statue	\$350.00
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. Muni Bond: LI NY Pwr Au Elec Sys Gen Rv DTD 5/1/98	D	Interest	M	T					
2. Muni Bond: Greenwich NY Cent Sch Dist Rfdg DTD 6/24/02	C	Interest	L	T					
3. Muni Bond: NY St Twy Auth Hwy & Brdg Rfdg Ser C 7/1/02	B	Interest			Redeemed	04/01/11	L		
4. Muni Bond: NY St TWY Auth Hwy & Brdg Rfdg Ser C DTD 7/1/02	B	Interest			Redeemed	04/01/11	L		
5. Muni Bond: NYS Twy Auth Svc Cont Rev Rfdg DTD 8/7/02	C	Interest	L	T					
6. Muni Bond: NY St UDC Corr & Youth Facs Svc Contract 11/26/02	B	Interest			Redeemed	01/01/11	K		
7. Muni Bond: NYS Dorm Au Rev Upstate CNMTY 3/3/05	B	Interest	K	T					
8. Muni Bond: NYC G/O Ser E Ref FSA 11/10/04	B	Interest	K	T					
9. Muni Bond: NYNY Ser H-FGIC 3/29/01	C	Interest			Redeemed	03/15/11	L		
10. Muni Bond: NYNY Rfdg-SerG-6/3/02	C	Interest			Redeemed	08/01/11	L		
11. Muni Bond: NYSt Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	K	T					
12. Muni Bond: NYSt Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	L	T					
13. Muni Bond: NYC G/O Ser.O 6/2/05	B	Interest	K	T					
14. Muni Bond: NYC G/O Ser C 8/3/05	B	Interest	L	T					
15. Muni Bond: NYSt, Thruway Gen Rev Ser H 10/11/07	B	Interest	K	T					
16. Muni Bond: NYS UDC ST Pers Income Tax 10/9/03	C	Interest	L	T					
17. Muni Bond: Metro Govt. Nashville & Davidson Co. Elec. 3/1/01	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 \$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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	(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: Tampa FL Sales Tax Rev Rfdg 10/6/10	A	Interest	K	T					
19. Muni Bond: Arizona Transp. Bd. Excise Tax Ser A 11/1/07	A	Interest	K	T					
20. Muni Bond: Metro Govt. Nashville & Davidson Co. Rfdg./Ser D	A	Interest	K	T					
21. Muni Bond: King Co. Wash Sch Dist. No 412 10/21/10	A	Interest	K	T					
22. Muni Bond: Baton Rouge LA Pub Impt. Sales Tax Ser B 9/28/10	A	Interest	K	T					
23. Muni Bond: Fort Bend Tex Flood Ctrl Water Supply 10/1/10	A	Interest	K	T					
24. Muni Bond: Ohio St. Rfdg Common Schs. Ser C 10/8/10	A	Interest	K	T					
25. Muni Bond: N. Carolina ST. Grant Antic Rev Vehicle 8/5/09	A	Interest	K	T					
26. Muni Bond: UConn. Ser A 5/25/10	A	Interest	K	T					
27. Muni Bond: Ohio St. Univ. Gen Rcpts Rfdg Ser D 10/6/10	A	Interest	K	T					
28. Money Market: Western Asset Govt. Money Fund, Class A	A	Int./Div.	N	T					
29. Checking: Chase Manhattan Bank, NYC	A	Interest	J	T					
30. Third Federal Savings & Loan Certificate of Deposit	B	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)

35. - American Growth Fund of America									
36. - Dreyfus Mid-Cap Fund					Sold (part)	01/10/11	K		
37. - Bond: Fedl Home Loan Bank Bonds					Redeemed	11/15/11	N		See Part VIII
38. - Bond: Fedl Farm Cr Bks Cons Bd									
39. - Bond: Fedl Home Ln Bk 5/13/11					Redeemed	05/13/11	K		
40. - Bond: Fedl Home Ln Bk 11/15/11					Redeemed	11/15/11	N		See Part VIII
41. - Bond: Fedl Home Ln Bk 11/15/11					Redeemed	11/15/11	N		See Part VIII
42. - Bond: Fedl Home Ln Bks Gbl 9/16/13									
43. - Bond: Fedl Home Ln Bks 02/13/15									
44. - Fidelity Contrafund									
45. - Tweedy Browne Global Value Fund									
46. - Eaton Vance Large Cap Value Fund CL 1					Sold	06/01/11	M		
47. - Bond: Fedl Farm Credit Bk 2/19/16									
48. - Bond: Fedl Farm Credit Bks Const 6/4/18									
49. - Blackrock Global Allocation					Buy (add'l)	03/23/11	M		
50. - Pimco Total Return Instl					Sold (part)	03/23/11	M		
51. - Ivy Asset Strategy Fund CL 1					Buy (add'l)	03/23/11	M		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Morgan Stanley Global Long/Short Fund A									
53. - Templeton Global Bond Advisor Class									
54. - Fidelity Low Priced Stock					Buy	01/07/11	M		
55. - Blackrock Equity Dividend FD-Intst					Buy	06/02/11	M		
56. - Vanguard Intermediate Tax Exempt Admiral					Buy	11/18/11	L		
57. - Vanguard Limited Term Tax Exempt Admiral					Buy	11/18/11	M		
58. TIAA-CREF		None	L	T					
59. - CREF Stock Account									

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

Part VII Investments & Trusts:

Line 30: [REDACTED] inherited this Certificate of Deposit.

Lines 37, 40, and 41: These three bonds were consolidated and redeemed for a total redemption value of "N".

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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