

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Pooler, Rosemary S.	2. Court or Organization Second Circuit Court of Appeals	3. Date of Report 10/06/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address P.O. Box 7395 100 South Clinton Street Syracuse, NY 13261-7395		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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. 2014	Member - New York State Employees Retirement System
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. 2014	NYS Employees Retirement Ssystem - pension	\$34,638.00
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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Bar Council	2/8/2014 - 2/16/2014	Guancaste, Costa Rico	Federal Bench & Bar Annual Conference	airfare, hotel and meals
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. Onondaga County, Syracuse, NY Property #1	C	Rent	L	W					
2. Onondaga County, Syracuse, NY Property #2	B	Rent	L	W					
3. Onondaga County, Syracuse, NY Property #3	C	Rent	L	W					
4. Onondaga County, Syracuse, NY Property #4	B	Rent	L	W					
5. Onondaga County, Syracuse, NY Property #5	B	Rent	L	W					
6. TIAA/CRFF Traditional Retirement	F	Interest	P1	T					
7. T. Rowe Price Mid-cap Growth Fund	F	Dividend	N	T					
8. T. Rowe Price-NY Tax Free Fund	B	Int./Div.	L	T					
9. TIAA Money Market Fund	B	Interest	J	T					
10. Charles Schwab :									
11. - Exxon Mobil Corp	D	Dividend	K	T					
12. - Microsoft Corp.	A	Dividend	K	T					
13. - First Niagara FNCL GP	A	Dividend			Sold	11/10/14	J	A	
14. - Newmont Mining Corp	A	Dividend	J	T					
15. - Norfolk Southern Corp	B	Dividend	J	T					
16. - Yamana Gold	B	Dividend	J	T					
17. - Cenovus Energy Inc.	C	Dividend	J	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 = \$250,000,001 - \$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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18. - Qualcomm Inc.	B	Dividend			Sold	09/22/14	J	A	
19. - Sandridge Miss Trust II	A	Dividend	J	T	Sold (part)	03/17/14	J	A	
20. - Sandridge Miss Trust II	A	Dividend			Sold	05/12/14	J	A	
21. - Sandridge Permian Tr	A	Dividend	J	T	Sold (part)	03/17/14	J	A	
22. - Sandridge Permian Tr	A	Dividend			Sold	05/12/14	J	A	
23. - Walt Disney Co.	A	Dividend	K	T	Buy (add'l)	10/06/14	J		
24. - General Electric Company	A	Dividend	J	T	Buy (add'l)	05/12/14	J		
25. - Vodafone Group	A	Dividend			Sold	11/10/14	J	A	
26. - Verizon	A	Dividend	J	T	Buy	02/21/14	J		
27. - Weibo Corp Adr	A	Dividend	J	T	Buy	07/07/14	J		
28. - Weibo Corp Adr	A	Dividend	J	T	Buy (add'l)	10/06/14	J		
29. - Weibo Corp Adr	A	Dividend	J	T	Buy (add'l)	11/10/14	J		
30. - NXP Semiconductors	A	Dividend	J	T	Buy	11/26/14	J		
31. - Intel Corp	A	Dividend	J	T	Buy	11/26/14	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	
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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/ **Rosemary S. Pooler**

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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