

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) Leval, Pierre N.	2. Court or Organization U.S. Court of Appeals, 2nd Cir	3. Date of Report 05/05/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	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 40 Foley Square Rm 1901 New York, NY 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. Council member - Emeritus	The American Law Institute
2. Trustee, Executor	members
3. Member - Photography Committee	Museum of Modern Art
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.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Leval, Pierre N.

Date of Report

05/05/2014

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. May	Thomas Jefferson Law School - teaching	\$3,000.00
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.)*

DATE	SOURCE AND TYPE
1. Jan-Dec.	State St. Cultural Inst. Pension Plan - pension
2. 10/27/13	Metropolitan Museum of Art - lecture
3. October	Woodstock Artists Association - advisory
4. April.	Museum of Art & Design - advisory
5. May	Women's Studio Workshop - advisory

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 PROVIDED
Yale Law School	4/2-4/12/2013	New Haven, CT	Lecture	Travel - self
2. Museum of Art & Design	April 2013	Mexico	Advice on exhibition	Travel/lodging - spouse
3. Inst. of Museum & Library Studies	8/2/13	Washington, D.C.	Board Meeting	Travel - spouse
4. Inst. of Museum & Library Studies	11/9/13	Washington, D.C.	Board Meeting	Travel - spouse
5.				

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Name of Person Reporting

Leyal, Pierre N.

Date of Report

05/05/2014

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (no reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1

1

5

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☐ NONE (no reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1 Home Loan on 30 year term - 2.5%

2

1

1

100

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Line Item	Fund Name	Reporting Period		Reporting Period		Transaction Details				
		(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
		Fund Code	Type (e.g., Dividend)	Value	Value	Type (e.g., Buy/Sell)	Date	Value	Gain	Identity of Investor
		(A-H)	(a-h)	(C-D)	(Code)	(Identification)		(E-F)	(G-H)	(I) (if applicable)
1	PMG Global Fund (Common)									
2	PMG Global Fund (Common)		Dividend			Sell (from file 1)	01/01/13			
3	PMG Global Fund (Common)	D	Dividend	N						
4	PMG Global Fund (Common)		None							
5	PMG Global Fund (Common)		Dividend							
6	PMG Global Fund (Common)		Dividend							
7	PMG Global Fund (Common)	A	Interest	K						
8	PMG Global Fund (Common)	G	Dividend	P						
9	PMG Global Fund (Common)		None			Buy	01/01/13			
10	PMG Global Fund (Common)		None			Buy	01/01/13			
11	PMG Global Fund (Common)		None			Buy	01/01/13			
12	PMG Global Fund (Common)		None			Buy	01/01/13			
13	PMG Global Fund (Common)		None			Buy	01/01/13			
14	PMG Global Fund (Common)		None			Buy	01/01/13			
15	PMG Global Fund (Common)		None			Sell (from file 1)	01/01/13			
16	PMG Global Fund (Common)		None			Sell (from file 1)	01/01/13			
17	PMG Global Fund (Common)		None			Sell (from file 1)	01/01/13			

1. Balance Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = over \$2,500	D = \$5,001 - \$10,000	E = \$15,001 - \$50,000
2. Sub-Total (SPRINT only)	F = \$50,001 - \$75,000	G = \$75,001 - \$100,000	H = \$100,001 - \$250,000	I = \$250,001 - \$500,000	J = more than \$500,000
3. Sub-Total (Other Columns C and D)	K = \$1,000 or less	L = \$1,001 - \$5,000	M = \$5,001 - \$25,000	N = \$25,001 - \$50,000	O = \$50,001 - \$100,000
4. Other Column C and D	P = \$100,001 - \$250,000	Q = \$250,001 - \$500,000	R = \$500,001 - \$1,000,000	S = \$1,000,001 - \$5,000,000	T = \$5,000,001 - \$25,000,000

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ANSWER

NONE (No reportable income, assets, or transaction) 1

[illegible]

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Name of Person Reporting

Mr. Bill Peterson

Date of Report

11/28/2013

VII. INVESTMENTS and TRUSTS Income, value, transactions, dividend, interest, and dependent children, see page 10 of filing instructions

☐ **None** Indicate if none of the above

A Description of Assets Place "X" after each asset	B Income during reporting period		C Gross Value at end of reporting period		D Transactions during reporting period				
	Amount	Type (e.g. Dividend)	Value	Value	Type (e.g. Sale)	Date	Value	Gain	Identity of Person
1. Fidelity Investments Fidelity									
2. Hershey (common)(s)		Dividend	M	T					
3. Wells Fargo Express Fund (Common)(F)		Dividend	K						
4. Fidelity Advisor Inc. (common)(FAM)(F)		Dividend	N						
5. Chase Bank (common)(F)		Dividend							
6. Chase Bank (common)(F)		None	K	T					
7. Citibank account		None		T					
8. Air Work		None	L	W					
9. Chase Bank account (F)		None	L	T					
10. Vanguard GSMA Tax & Income Fund (FUS)		Interest	L	T					
11. Fidelity		Dividend	K	T					
12. Fidelity		Dividend		T					
13. Fidelity		Dividend							
14. Fidelity		Dividend							
15. Fidelity		Dividend							
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Name of Person Reporting

Lloyd Pierce N

Period of Report

05/01/2014

VII. INVESTMENTS and TRUSTS

(Include all investments, including those of a spouse, and investments of a trust, in which you have a financial interest.)

☒ NONE. I have no investments or trusts in which I have a financial interest.

Investment Assets (including trust assets)	Reporting Period	Type of Dividend or Reporting Period	Investment Assets		Reporting Period	Type of Dividend or Reporting Period	Investment Assets		Reporting Period	Type of Dividend or Reporting Period
			(1)	(2)			(1)	(2)		
53. HROXX	A	Dividend	J	T						
54. HROXX	A	Dividend	R	T						
55. HROXX	A	Dividend	R	T						
56. HROXX	A	Dividend	R	T						
57. HROXX	A	Dividend	R	T						
58. HROXX	A	Dividend	R	T						
59. HROXX	A	Dividend	R	T						
60. HROXX	A	Dividend	R	T						
61. Jacksonville 5.375 8/15/23	D	Interest	M	T						
62. Bd. Man. Guadalupe 5.375 8/15/23	D	Interest	M	T						
63. Detroit Water 5.75 7/1/26	C	Interest	L	T						
64. Detroit Water 5.75 7/1/26	C	Interest	L	T						
65. Detroit Water 5.75 7/1/26	C	Interest	L	T						
66. Detroit Water 5.75 7/1/26	C	Interest	L	T						
67. Guam Pwr Bond 5.0 10/1/26	A	Interest	K	T	Buy	07/15/13	K			
68. Monroe 5.75 bond 3036	B	Interest	N	T	Buy	11/03/13	M			

1. Income Gain Codes:

A - \$1,000 or less

B - \$1,001 - \$2,500

C - \$2,501 - \$5,000

D - \$5,001 - \$15,000

E - \$15,001 - \$50,000

2. Dividends (B, C, D, E)

F - \$1,000 or less

G - \$1,001 - \$2,500

H - \$2,501 - \$5,000

I - \$5,001 - \$15,000

J - \$15,001 - \$50,000

3. Dividends (B, C, D, E)

F - \$1,000 or less

G - \$1,001 - \$2,500

H - \$2,501 - \$5,000

I - \$5,001 - \$15,000

J - \$15,001 - \$50,000

4. Dividends (B, C, D, E)

F - \$1,000 or less

G - \$1,001 - \$2,500

H - \$2,501 - \$5,000

I - \$5,001 - \$15,000

J - \$15,001 - \$50,000

5. Dividends (B, C, D, E)

F - \$1,000 or less

G - \$1,001 - \$2,500

H - \$2,501 - \$5,000

I - \$5,001 - \$15,000

J - \$15,001 - \$50,000

6. Dividends (B, C, D, E)

F - \$1,000 or less

G - \$1,001 - \$2,500

H - \$2,501 - \$5,000

I - \$5,001 - \$15,000

J - \$15,001 - \$50,000

7. Dividends (B, C, D, E)

F - \$1,000 or less

G - \$1,001 - \$2,500

H - \$2,501 - \$5,000

I - \$5,001 - \$15,000

J - \$15,001 - \$50,000

8. Dividends (B, C, D, E)

F - \$1,000 or less

G - \$1,001 - \$2,500

H - \$2,501 - \$5,000

I - \$5,001 - \$15,000

J - \$15,001 - \$50,000

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Name of Person Reporting

Laval, Pierre N.

Date of Report

05/05/2014

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.)

Line	Description of Assets (Do not include cash or cash equivalents)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period			
		Amount (B1)	Type (e.g. dividend) (B2)	Value (C1)	Value Method Code (C2)	Type (e.g. Buy, Sell, Redeemed, etc.) (D1)	Date (D2)	Value (D3)	Gain/Loss Code (D4)
69.	Monroe 5.75 bond 2030 See * in Part VIII		None			Buy (part)	11/06/13	M	
70.	Monroe 5.75 bond 2030	C	Interest	L	T				
71.	E. Rochester 5.375 bond 12/20/22	C	Interest			Redeemed (part)	06/20/13	J	
72.	E. Rochester 5.375 bond 12/20/12		None			Redeemed	09/20/13	L	
73.	E. Rochester 5.00 8/15/27	C	Interest	L	T				
74.	E. Rochester 5.00 4/20/27	C	Interest	L	T	Buy	10/24/13	L	
75.	Kentucky 6.0 bond 10/1/19	C	Interest	L	T				
76.	Louisiana 5.250 7/1/24 See * in Part VIII	B	Interest			Sold (part)	01/02/13	J	
77.	Louisiana 5.250 7/1/24 See * in Part VIII		None			Sold	02/20/13	K	
78.	Mahoning 5.5 bond	A	Interest			Sold	03/26/13	L	
79.	MTA 5.25 4/1/14 bond	C	Interest			Sold	03/19/13	M	
80.	MTA 5.0 7/1/15 bond	C	Interest			Sold	03/19/13	M	
81.	MTA 5.625 7/1/16 bond	A	Interest			Sold	03/20/13	J	
82.	Michigan Hosp. bond	C	Interest	L	T				
83.	Mississippi Dev. 6.75 12/1/33	C	Interest	M	T	Buy	08/09/13	M	
84.	Mississippi Hosp. bond	B	Interest	L	T				
85.	NYC 5.375 6/1/23 bond	C	Interest			Redeemed	08/01/13	M	

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	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	P3 = \$25,000,001 - \$50,000,000
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Leval, Pierre N.

Date of Report

05/05/2014

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)

86. NY Dorm 5.1 2/15/26 bond	D	Interest	M	T					
87. NY Dorm 5.25 8/1/25 bond	D	Interest			Redeemed	11/08/13	L		
88. NY Dorm 5.75 8/1/24 bond	C	Interest			Sold (part)	02/01/13	L		
89. NY Dorm 5.75 8/1/24 bond See * in Part VIII		None			Redeemed	02/07/13	J		
90. NY Dorm 5.45 8/1/35 bond	C	Interest			Redeemed	10/24/13	L		
91. NY Dorm 5.95 2016 See * in Part VIII	A	Interest			Redeemed (part)	02/01/13	J		
92. * * See * in Part VIII		None			Redeemed	08/01/13	J		
93. NY Dorm 4.9 8/15/2031	C	Interest			Sold	03/26/13	M		
94. NY Dorm 5.0 8/1/2023	B	Interest	K	T					
95. NY Dorm 5.25 2028	D	Interest			Redeemed	08/08/13	M		
96. NYS Energy 5.5 bond 1/1/21	C	Interest	L	T					
97. NYS Energy 5.15 2016	C	Interest	L	T					
98. NYS Envir. 5.125 bond 6/15/19	B	Interest			Sold	03/19/13	M		
99. NY Mtg Agy 5.15 4/1/17	A	Interest			Redeemed (part)	01/17/13	J		
100. * * See * in Part VIII		None			Redeemed (part)	04/01/13	J		
101. * * See * in Part VIII		None			Redeemed	08/29/13	J		
102. NY Dorm 6.25 8/15/34	C	Interest	L	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Leval, Pierre N.

Date of Report

05/05/2014

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)
103. NY Dorm 5.0 10/1/26	C	Interest	L	T					
104. NC Med 5.0 6/1/35 See * in Part VIII	A	Interest			Sold (part)	03/26/13	L		
105. " * See * in Part VIII		None			Sold	03/28/13	L		
106. Pima 5.0 12/15/36	C	Interest	L	T					
107. PR 5.375 7/1/25	C	Interest	L	T	Buy	01/03/13	L		
108. PR 5.5 7/1/19	C	Interest	L	T					
109. PR HSG 5.125 12/1/27	C	Interest	K	T					
110. Puerto Rico bond 4.95 7/1/26	B	Interest	L	T	Buy	02/06/13	K		
111. Puerto Rico bond 4.95 7/1/26 See * Part VIII		None			Buy (add'l)	02/08/13	L		
112. RI Dep 6.0 bond 8/1/17	B	Interest			Sold	03/26/13	L		
113. RIS Health 5.5 bond 5/15/16	B	Interest			Sold	03/26/13	L		
114. Sacramento 5.0 bond 12/1/16	B	Interest			Sold	03/26/13	L		
115. St. Paul 5.5 bond 11/1/23	B	Interest			Sold	03/19/13	M		
116. Triborough 5.25 1/1/13 bond	B	Interest			Redeemed	01/02/13	L		
117. Triborough 5.25 1/1/14 bond	C	Interest			Sold	03/19/13	M		
118. Virgin I bond 5.0 10/1/28	A	Interest	K	T	Buy	08/19/13	K		
119. Virgin I Pub Fin bond 4.0 10/1/22	C	Interest	L	T	Buy	02/14/13	L		

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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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)
120. Virgin 1 Pub Fin 5.0 10/1/27	B	Interest	M	T	Buy	08/08/13	M		
121. Virgin 1 Pub Fin 5.25 10/1/24		None	M	T	Buy	09/20/13	M		
122. Washington 6.25 8/1/28	B	Interest			Sold	11/08/13	M		
123. Washington bond 5.25 8/10/23	C	Interest			Sold	03/19/13	M		
124. Bd. Man. Guadalupe bond 5.375 8/15/27 -	C	Interest	L	T					
125. Califor. 4.9 10/1/13	B	Interest			Sold	03/13/13	L		
126. Detroit 3.75 7/1/31	B	Interest	K	T					
127. Detroit 5.75 7/1/25	C	Interest	L	T					
128. Fresno 5.75 6/1/26	B	Interest	K	T					
129. NY MTA 5.25 4/1/14 bond	C	Interest	L	T					
130. Monroe Cty 5.75 2035 ()	C	Interest	L	T					
131. NYC Mun 5.75 bond 6/15/13	A	Interest			Redeemed (part)	06/15/13	J		
132. NYC bond 5.375 6/1/23	B	Interest			Redeemed	08/01/13	K		
133. NY Dorm 5.1 2/15/26 bond	B	Interest	K	T					
134. NY Dorm 5.25 8/1/25 bond	C	Interest			Redeemed	11/18/13	K		
135. NY Dorm 6.25 8/15/34	B	Interest	K	T					
136. NY Dorm 5.0 10/1/26	C	Interest	L	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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Name of Person Reporting

Leval, Pierre N.

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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)
137. NY Dorm 4.8 2025 bond ()	B	Interest	K	T					
138. NYS Energy 5.15 2016 bond ()	C	Interest	K	T					
139. Puerto Rico () 6.0% 7/1/18	B	Interest	L	T	Buy	05/16/13	K		
140. " See * in Part VIII		None			Buy (add'l)	08/08/13	L		
141. Puerto Rico () 4.95% 7/1/26	B	Interest	K	T	Buy	03/25/13	K		
142. North Car 5.0 6/1/35 - ()	A	Interest			Sold	08/23/13	K		
143. RI Health 5.5 bond - 5/15/16 ()	B	Interest	K	T	Redeemed (part)	05/15/13	J		
144. Virgin I 5.0% () 10/1/28	A	Interest	K	T	Buy	08/19/13	K		
145. Virgin I. 5.0% () 10/1/30	C	Interest	L	T	Buy	03/18/13	L		
146. Waco TX bond 5.0 8/1/31 - ()	A	Interest			Sold	03/25/13	K		
147. New Providence Assoc. LP fund self	F	Dividend	O	T					
148. JPMorgan Tax Free Bond VANTX self	A	Interest	K	T					
149. NYC Transitional 5.0 7/15/37 See ** in Part VIII	B	Interest			Sold	03/19/13	M		
150. NYC Transitoinal 5.0 7/15/33 See ** in Part VIII	A	Interest			Sold	08/16/13	K		

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.)*

* The first line relating to this security reports in Column C the year's end holdings, in Column B the income received during the year from this security, and in column D any purchase or sale. Subsequent lines for the same security report additional purchases and sales. If, as for lines 76, 88, 91, 99, 104, all holdings of the security were sold, Part (1) of Column C is blank reflecting the fact that I had no holdings of this security at the year's end.

** Mistakenly omitted from 2012 Report.

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Name of Person Reporting

Leval, Pierre N.

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05/05/2014

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/ Pierre N. Leval**

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