

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                     |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Calabresi, Guido                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals, 2nd Cir                                                                                                                                                                                                                               | <b>3. Date of Report</b><br><br>08/23/2016                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Court of Appeals Judge, Senior Status                     | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>U.S. Court of Appeals, 2nd Cir<br>157 Church Street<br>New Haven, CT 06510-2030                                                                |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## 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. Sterling Professor Emeritus, Professorial Lecturer | Yale Law School, 11/01/1995 - present                         |
| 2. Honorary Trustee - Unpaid                          | Carolyn Foundation, MN, 01/01/1996 - present                  |
| 3. Member, Scientific Committee- Unpaid               | Centro Nazionale Prevenzione e Difesa Sociale, 1988 - present |
| 4. Member - Unpaid                                    | International University College, Turin Board, 2007 - present |
| 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. Present  | Right to be Professorial Lecturer, Yale University, upon retirement (See Attachments A and B)                   |
| 2. Present  | Right to use accumulated (approximately \$500) research and travel fund, Yale University, even after retirement |
| 3.          |                                                                                                                 |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 10

Name of Person Reporting

Calabresi, Guido

Date of Report

08/23/2016

**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><br>(yours, not spouse's) |
|-------------|---------------------------------------------------------------------------|----------------------------------------|
| 1. 2015     | Yale University - part-time teaching                                      | \$199,513.00                           |
| 2. 2015     | Yale University Press - royalties for previously written book             | \$232.58                               |
| 3. 2015     | W.W. Norton & Co. - royalties for previously written book                 | \$742.13                               |
| 4. 2015     | Author's Registry - copyright payments for previously written books, etc. | \$216.14                               |
| 5. 2015     | Harvard University Press - royalties for previously written book          | \$307.93                               |
| 6.          |                                                                           |                                        |

**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. University of Ravenna,<br>University of Bologna, Italy | 01/08/15-01/09/15 | Ravenna, Italy  | Lectures       | Travel, food, lodging         |
| 2. Centro Nazionale<br>Prevenzione e Difesa               | 02/04/15-02/06/15 | Milan, Italy    | Lectures       | Travel, food, lodging         |
| 3. University of Bologna, Italy                           | 03/11/15          | Bologna, Italy  | Lecture        | Travel, food                  |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 10

Name of Person Reporting

Calabresi, Guido

Date of Report

08/23/2016

|     |                                                                    |                   |                 |                           |                       |
|-----|--------------------------------------------------------------------|-------------------|-----------------|---------------------------|-----------------------|
| 4.  | International University<br>College, University of Turin,<br>Italy | 03/18/15-03/19/15 | Turin, Italy    | Lectures                  | Travel, food, lodging |
| 5.  | Yale University Law School                                         | 04/16/15          | New Haven, CT   | Academic Meeting          | Food                  |
| 6.  | Yale University Law School                                         | 04/18/15-04/19/15 | Dallas, TX      | Represent school at event | Travel, food, lodging |
| 7.  | University of Brescia, Italy                                       | 06/26/15-06/27/15 | Brescia, Italy  | Lectures                  | Travel, food, lodging |
| 8.  | Canadian Institute of<br>Advanced Legal Studies                    | 07/05/15-07/08/15 | Cambridge, U.K. | Lectures                  | Travel, food, lodging |
| 9.  | American Bar Association                                           | 07/31/15-08/01/15 | Chicago, IL     | Received award            | Travel, food, lodging |
| 10. | Columbia University Law<br>School                                  | 09/30/15          | New York, NY    | Lecture                   | Travel, food          |
| 11. | Centro Nazionale<br>Prevenzione e Difesa                           | 10/27/15          | Milan, Italy    | Lectures                  | Travel, food, lodging |
| 12. | University of Ravenna, Italy                                       | 11/05/15          | Ravenna, Italy  | Lecture                   | Travel, food          |

**FINANCIAL DISCLOSURE REPORT**

Page 4 of 10

Name of Person Reporting

Calabresi, Guido

Date of Report

08/23/2016

**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. |               |                    |              |
| 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. |                 |                    |                   |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Calabresi, Guido

Date of Report

08/23/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                               |   |              |    |   |         |          |   |  |  |
|---------------------------------------------------------------|---|--------------|----|---|---------|----------|---|--|--|
| 1. Mass Mutual (whole life) Insurance                         | B | Dividend     | L  | T |         |          |   |  |  |
| 2. New York Life (whole life) Insurance                       | A | Dividend     | L  | T |         |          |   |  |  |
| 3. AIG Sun America (whole life) Insurance                     |   | None         | L  | T |         |          |   |  |  |
| 4. Graduate Club Association Bond                             | A | Interest     | J  | T |         |          |   |  |  |
| 5. Bank of America checking account                           | A | Interest     | M  | T |         |          |   |  |  |
| 6. Bank of America IMMA account                               | A | Interest     | J  | T |         |          |   |  |  |
| 7. Banca CR. Firenze                                          | A | Interest     | K  | T |         |          |   |  |  |
| 8. Merrill Lynch Bank & Trust USA - cash                      | A | Interest     | L  | T |         |          |   |  |  |
| 9. 1 Shares T S&P 500 (mutual fund) @ Merrill Lynch           | B | Dividend     | M  | T | Buy     | 12/23/15 | M |  |  |
| 10. American Growth Fund Mutual Fund @ Merrill Lynch          | E | Distribution | M  | T | Donated |          |   |  |  |
| 11. Trust #1, income beneficiary                              | G | Int./Div.    | P2 | T |         |          |   |  |  |
| 12. --First Am. Tax Free Oblig Fund (cash equiv.)             |   |              |    |   |         |          |   |  |  |
| 13. --Nuveen Symphony Mid Cap Core I Fund (mutual fund)       |   |              |    |   |         |          |   |  |  |
| 14. --Cambiar International Equity Fund (mutual fund)         |   |              |    |   |         |          |   |  |  |
| 15. --General Mills (common)                                  |   |              |    |   |         |          |   |  |  |
| 16. --American Funds: Investment Co. of America (mutual fund) |   |              |    |   |         |          |   |  |  |
| 17. Trust #2, income beneficiary                              | F | Int./Div.    | P1 | T |         |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Calabresi, Guido

Date of Report

08/23/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                               |   |           |    |   |                           |          |   |  |  |
|---------------------------------------------------------------|---|-----------|----|---|---------------------------|----------|---|--|--|
| 18. --First Am. Tax Free Oblig. Fund (cash equiv.)            |   |           |    |   |                           |          |   |  |  |
| 19. --American Funds: Investment Co. of America (mutual fund) |   |           |    |   |                           |          |   |  |  |
| 20. --Minnesota Mining & Mfg. (common)                        |   |           |    |   |                           |          |   |  |  |
| 21. --Nuveen Symphony Mid Cap Core 1 (mutual fund)            |   |           |    |   |                           |          |   |  |  |
| 22. --Nuveen Small-Cap Select Fund (mutual fund)              |   |           |    |   |                           |          |   |  |  |
| 23. --Cambiar International Equity Fund (mutual fund)         |   |           |    |   |                           |          |   |  |  |
| 24. Trust #3, income beneficiary                              | G | Int./Div. | P2 | T |                           |          |   |  |  |
| 25. --Darden Restaurants (common)                             |   |           |    |   |                           |          |   |  |  |
| 26. --Four Corners Property Trust                             |   |           |    |   | Spinoff<br>(from line 25) | 11/16/15 | M |  |  |
| 27. --Exxon (common)                                          |   |           |    |   |                           |          |   |  |  |
| 28. --General Mills (common)                                  |   |           |    |   |                           |          |   |  |  |
| 29. --IBM (common)                                            |   |           |    |   |                           |          |   |  |  |
| 30. --JP Morgan (common)                                      |   |           |    |   |                           |          |   |  |  |
| 31. --AT&T Inc. (common)                                      |   |           |    |   |                           |          |   |  |  |
| 32. --US Bancorp (common)                                     |   |           |    |   |                           |          |   |  |  |
| 33. --American Funds: Investment Co. of America (mutual fund) |   |           |    |   |                           |          |   |  |  |
| 34. --iShares Core S&P 500ETF (X)                             |   |           |    |   |                           |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Calabresi, Guido

Date of Report

08/23/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. --Merrill Lynch Bank & Trust USA - cash                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 36. --Am. Growth Fund ( mutual fund)                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 37. --Am. Euro Pacific Growth Fund (mutual fund)                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 38. Trust #4, income beneficiary                                                                                            | E                                       | Int./Div.                                     | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. --Merrill Lynch Bank USA - CMA Money Fund (cash equiv.)                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 40. --I Shares T S&P 500 (mutual fund)                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 41. --Bank of America (common)                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 42. Trust #5, income beneficiary                                                                                            | E                                       | Int./Div.                                     | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. --Bank of America (common)                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 44. --Morgan Stanley Emerging Market Fd. (mutual fund)                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 45. --Bank of America checking account - Cash                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 46. Guido Calabresi Retirement, TIAA-CREF                                                                                   | D                                       | Int./Div.                                     | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. --TIAA Traditional (Annuity)                                                                                            | D                                       | Interest                                      |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 48. --TC Life Cycle 2010- Inst                                                                                              | A                                       | Dividend                                      |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 49. Trust #6, income beneficiary                                                                                            | E                                       | Int./Div.                                     | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. --Yale Equity Fund (mutual fund) (fka Grantham, Mayo, Van Otterloo)                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 51. --Yale Fixed Inc Fund (mutual fund) (fka Grantham, Mayo, Van Otterloo)                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Calabresi, Guido

Date of Report

08/23/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. American Funds: Investment Co. of America (mutual fund)                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. Citigroup Inc. (common) @ Merrill Lynch                                                                                 | B                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. ROTH IRA#1, SPDR Russell 3000 ETF (THRK)                                                                                | F                                       | Int./Div.                                     | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. ROTH IRA#2, SPDR Russell 1000 ETF (ONEK)                                                                                | F                                       | Int./Div.                                     | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. ROTH IRA#3, SPDR Russell Sm Cap Completeness ETF (RSCO)                                                                 | F                                       | Int./Div.                                     | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Calabresi, Guido

Date of Report

08/23/2016

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

### Part I. POSITIONS

Line 4- Assets of the Carolyn Foundation are not listed because my position as Trustee is "Honorary" only. I have no functional responsibilities with regard to the foundation.

### Part VII INVESTMENTS AND TRUSTS

Trusts #3, #4, and #5 in Part VII (Assets #24, #38, and #41) and the retirement accounts described in Part VII (Assets #52, #53, and #54) did not distribute any income to me or to an immediate family member. Income was earned and not distributed. Assets #52, #53 and #54: Since the reports that I received did not distinguish between realized and unrealized gains, I have included all gains in my income figure. Asset #46 distributed income in an unknown amount during 2015 as part of a retirement distribution taken.

Trust #6 (Asset #49) in Part VII is a Charitable Remainder Unitrust established in 1995 by a family member and me. The family member and I are 5.5% income beneficiaries during our lives or 20 years, whichever is longer. The trustee is instructed to invest the money in widely diversified mutual or money market funds.

Line 34: (X) This investment was purchased by Trust #3 on December 17, 2014, but was not listed in the 2014 Financial Disclosure Report because I was unaware of the purchase at the time. The value and income of Trust #3 was correctly reported in 2014 despite the omission of the investment.

# FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Calabresi, Guido

Date of Report

08/23/2016

## 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/ Guido Calabresi**

**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