

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) WALKER, JOHN M.	2. Court or Organization Second Circuit Court of Appeals	3. Date of Report 07/15/2016
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 1/1/2015 to 12/31/2015
7. Chambers or Office Address U.S. Court of Appeals 157 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.	Director	Dwight D. Opperman Institute of Judicial Administration
2.	Director	U.S. Association of Constitutional Law
3.	Director	Friends of CEELI
4.	Member	American Society of International Law, Judicial Advisory Board
5.	Director	Spencer Williams Foundation for Judicial Independence
6.	Director	International Judicial Academy

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.)*

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. Law College Association of the University of Arizona	2/5/15-2/6/15	Phoenix, AZ	Conference	Transportation, meals, lodging
2. Yale University	4/21/15-4/27/15	Beijing, China	China's Guiding Cases Conference	Transportation, meals, lodging
3. Administrative Conference of the U.S.	6/3/15-6/5/15	Washington, DC	Plenary Session	Transportation, meals, lodging
4. U.S. Courts	6/9/15-6/11/15	New Paltz, NY	Judicial Conference	Transportation, meals, lodging
5. CEELI Institute	6/26/15-7/1/15	Prague, Czech Republic	Annual meeting	Transportation, meals, lodging
6. The Aspen Institute	7/24/15	Long Island, NY	Conference	Transportation, meals

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7.	The CEELI Institute	10/9/15-10/15/15	Brijuni, Croatia	Conference of Chief Justices of Central and Eastern Europe	Transportation, meals, lodging
8.	National Committee on US-China Relations	12/4/15-12/11-15	Beijing, China	China Guiding Cases	Transportation, meals, lodging

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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.			
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.	None		
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. --COMMON STOCK--									
2. AES CORP	A	Dividend	J	T					
3. ALLSTATE CORP	A	Dividend	K	T					
4. ALPHABET INC CL A		None	J	T	Spinoff (from line 27)				
5. ALPHABET INC CL C		None	J	T	Spinoff (from line 27)				
6. AMERICAN INT'L GROUP	B	Dividend	L	T					
7. AMERICAN TOWER INC	B	Dividend	L	T					
8. ATHENA HEALTH INC		None	M	T					
9. AT & T INC COM		None	J	T					
10. AUTO ZONE INC		None	K	T					
11. BERKSHIRE HATHAWAY		None	L	T	Sold (part)	08/21/15	J	C	
12. CARMAX		None	L	T					
13. CHEVRON CORP	B	Dividend	K	T	Buy (add'l)	12/10/15	J		
14. CHURCH & DWIGHT CO INC	A	Dividend	J	T					
15. CINCINNATI BELL INC		None			Sold	06/08/15	K	B	
16. COGNIZANT TECH SOLUTIONS		None	K	T	Buy	11/06/15	K		
17. CONCORD MEDICAL SVCS HOLDINGS ADR		None			Sold	06/16/15	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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☐ 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)

18. CROWN HOLDINGS		None	L	T					
19. CVS HEALTH CORP		None	J	T	Buy	12/31/15	J		
20. DENNY'S CORP		None	L	T					
21. DOLLAR TREE INC		None	K	T	Buy	05/29/15	K		
22. ENERGY TRANSFER PARTNERS LP	D	Dividend	L	T	Buy (add'l)	11/16/15	L		
23. ENSCO PLC SPONSORED ADR	A	Dividend	J	T	Buy (add'l)	11/02/15	J		
24.					Sold (part)	12/09/15	J		
25. FACEBOOK INC CL A		None			Sold	08/28/15	K	E	
26. GLADSTONE COMM CORP	B	Dividend	J	T					
27. GOOGLE INC CL A		None							
28. GREEN MTN COFFEE ROASTERS INC		None			Merged (with line 34)				
29. ILLUMINA INC		None	K	T	Buy	04/20/15	K		
30. INTERNAP NETWORK SERVICES		None			Sold	06/08/15	L	E	
31. INTERNATIONAL BUSINESS MACHINES	B	Dividend	K	T	Buy (add'l)	12/10/15	J		
32. IRIDIUM COMMUNICATIONS		None	K	T					
33. JP MORGAN CHASE	B	Dividend	L	T	Buy (add'l)	11/02/15	J		
34. KEURIG GREEN MOUNTAIN INC	A	Dividend	L	T	Buy (add'l)	10/29/15	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. KINDER MORGAN ENERGY PARTNERS	B	Dividend	J	T					
36. KING DIGITAL ENTERTAINMENT	A	Dividend	J	T	Buy (add'l)	03/24/15	J		
37. LABORATORY CORP AMER HOLDINGS		None	K	T					
38. LOWES CO INC	B	Dividend	M	T	Buy (add'l)	11/04/15	J		
39.					Sold (part)	02/04/15	J	C	
40. MARKEL CORPORATION		None	L	T					
41. MASTERCARD INC CL A	A	Dividend	L	T	Buy (add'l)	11/09/15	J		
42.					Sold (part)	08/25/15	K	D	
43. MICROSOFT CORP	C	Dividend	M	T	Buy (add'l)	12/10/15	J		
44. MYRIAD GENETICS INC		None			Sold	06/10/15	K	A	
45. NEOGEN CORP		None	K	T					
46. NOVARTIS AG SPONSORED ADR	A	Dividend	J	T	Buy (add'l)	04/23/15	J		
47.					Sold (part)	08/26/15	K	D	
48. ORACLE CORPORATION	A	Dividend	K	T	Buy (add'l)	10/28/15	J		
49.					Sold (part)	01/14/15	J	C	
50. PEPSICO INC	B	Dividend	K	T	Buy (add'l)	09/30/15	J		
51.					Sold (part)	08/24/15	J	C	

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52. PHILIP MORRIS INTL INC COM	B	Dividend	L	T	Buy (add'l)	10/14/15	J		
53. PIONEER NATURAL	A	Dividend	K	T					
54. POPEYES LOUISIANA KITCHEN INC		None	K	T					
55. PROCTOR & GAMBLE	B	Dividend	K	T	Buy (add'l)	11/16/15	J		
56.					Sold (part)	08/21/15	J		
57. QUALCOMM INC	A	Dividend			Sold	07/15/15	K		
58. ROSS STORES INC	A	Dividend	L	T					
59. ROYAL BANK CANADA	A	Dividend	L	T	Buy (add'l)	11/04/15	L		
60. RUCKUS WIRELESS		None	J	T	Buy	12/08/15	J		
61. SIX FLAGS ENTMT CORP	B	Dividend	K	T					
62. SMUCKER JM & CO	B	Dividend	L	T	Buy (add'l)	12/01/15	J		
63. SOLARWINDS INC COM		None	M	T	Buy (add'l)	08/05/15	K		
64. SUPER MICRO COMPUTER INC		None	K	T	Sold (part)	01/14/15	J	C	
65. TAIWAN SEMICONDUCTOR	B	Dividend	K	T	Sold (part)	02/04/15	J	C	
66. TIME WARNER CABLE	B	Dividend	L	T					
67. UNITED TECHNOLOGIES CORP	A	Dividend			Sold	08/21/15	J		
68. URSTADT BIDDLE PPT A	B	Dividend	K	T					

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69. WALMART STORES INC	B	Dividend	K	T					
70. WELLS FARGO & CO NEW	B	Dividend	K	T	Sold (part)	02/04/15	J	A	
71.									
72. --CASH & EQUIVALENTS--									
73. PERSHING GOVT ACCOUNT	A	Interest	K	T					
74. FIDELITY CASH					Closed				
75. DREYFUS TREASURY PRIME INV SH	A	Dividend	K	T					
76. --LIMITED PARTNERSHIP--									
77. BROOKFIELD INFRASTRUCTURE PARTNERS	B	Dividend	K	T					
78.									
79. --BANK ACCOUNTS--									
80. BANK OF AMERICA	A	Interest	J	T					
81. CITIBANK	A	Interest	J	T					
82. PEOPLES BANK	A	Interest	J	T					
83.									

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
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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/ **JOHN M. WALKER**

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