AO 10
Rev. 1/2015

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)	2. Court or Organization	3. Date of Report
Cabranes, Jose A.	U.S. Court of Appeals	07/16/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2014 **to** 12/31/2014
7. Chambers or Office Address		
141 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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	William Nelson Cromwell Foundation, New York, NY
2.	Member	Academic Advisory Committee of the Institute for Constitutional Studies, The George Washington Univeristy, Washington, DC
3.	NOTE:	Note: No income of any kind was derived from any of the positions or services or activities noted above.
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.		

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.	2014	University of Chicago Press (Royalties)
2.	2014	Thomson-West (Royalties)
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.	Dartmouth College	April 9, 2014	New York, NY	Dartmouth Trustees Emeriti Dinner	Meal and refreshments as spouse of former Trustee
2.	William Nelson Cromwell Foundation	October 27, 2014	New York, NY	Annual Meeting of the Trustees	Meal and cost of transportation to and from Washington, D.C.
3.	American Law Institute	November 29-21, 2014	Philadelphia, PA	Attend meetings of Advisers Committee	Meals, lodging and cost of transportation to and from Philadelphia, PA
4.	Yale University	Various dates thoughout the year	New Haven, CT	Attend or participate in varied University academic and social functions	Meals and refreshments as spouse of tenured faculty member or as a former University Trustee

5.	Yale University	October 9-13, 2014	New Haven, CT	Educational Trip to Cuba	Meals and cost of transportation leading Yale Law School seminar group studying Cuba
6.	Fordham University	October 23, 2014	New York, NY	Attend academic conference at Fordham University Law School	Transportation to and from academic conference

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

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	Michael Vlock & Karen Pritzker	Flight via private plane to Bermuda for visit at private home	$845.00
2.	Jay Vlock & Gail Brekke	Tickets for two to baseball game and luncheon at Yankees Stadium, New York	$500.00
3.			
4.			
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.			
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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. Western Asset MNGD Municipal Fund (MMU)	B	Int./Div.	K	T	Sold	09/23/13	K		
2. Nuveen Premium Income Municipal Fund (NPI)	B	Int./Div.	K	T	Sold	09/23/13	K	B	
3. Nuveen Connecticut Premium (NTC)	B	Int./Div.	K	T	Sold	09/23/13	K		
4. Columbia Tax Exempt Fund Class C (COLCX)	B	Int./Div.	K	T	Sold	09/23/13	K		
5. Vanguard Life Strategy Conservatice Portfolio (VSCGX)	C	Dividend	L	T	Buy	07/02/14	L		
6.					Buy	10/03/14	K		
7. Bernstein Diversified Municipal Portfolio Fund Advisor Class (SNDPX)	C	Dividend	K	T					
8. Fidelity Advisor Emerging Markets Income Class I	A	Dividend	J	T					
9. Franklin High Yield Tax Free Income Fund Advisor Class	C	Dividend	K	T					
10. IShares TR MSCI EAFE ETF (EFA)	C	Dividend	J	T	Sold (part)	02/25/14	J	A	
11. ISHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	C	Dividend	J	T					
12. ISHARES TR RUSSELL 1000 GROWTH ETF (IWF)	A	Dividend	J	T	Sold (part)	01/27/14	J	A	
13. ISHARES TR RUSSELL 1000 VALUE ETF (IWD)	C	Dividend	L	T					
14. ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T					
15. ISHARES TR RUSSELL 2000 VALUE ETF (IWN)	B	Dividend	J	T					
16. ISHARES TR RUSSELL MID-CAP ETF (IWR)	C	Dividend	J	T					
17. ISHARES TR RUSSELL MID-CAP VALUE ETF (IWS)	C	Dividend	K	T					

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

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18. SPDR SER TR DOW JONES REIT ETF (RWR)	B	Dividend	J	T					
19. T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE (PRSMX)	B	Dividend	K	T					
20. THORNBURG INTERMED MUNICIPAL NATIONAL (THMIX)	B	Dividend	L	T					
21. TIAA CREF EMERGING MARKETS EQUITY INDEX FUND INSTITUTION (TEQLX)	B	Dividend	K	T					
22. WELLS FARGO ADVTG ULTRA SHORT-TERM MUNI INCOME FD CL A (SMAVX)	A	Dividend	K	T					
23. TIAA-CREF Annuity (fixed, non-variable)	D	Int./Div.	L	T					
24. TIAA-CREF PENSION	F	Int./Div.	P1	T					
25. -TIAA Traditional	F	Int./Div.	P1	T					
26. -T-C Intl Eq-Inst-TIIEX	A	Int./Div.	K	T					
27. TIAA Real Estate-QREARX	E	Int./Div.	M	T					
28. T-C Lifecycle 2015-Inst- TCNIX	A	Int./Div.	J	T					
29. TIAA CREF ROTH IRA	E	Int./Div.	M	T					
30. -TIAA CREF REAL ESTATE MUTUAL FUND									
31. Hartford Life & Annuity Co. (Variable Life Ins. Policy)	A	Int./Div.	K	T					
32. -PVT Growth & Income	A	Int./Div.	K	T					
33. -HLS Stock	A	Int./Div.	K	T					

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34. Vanguard Tax Exempt Money Market Fund-VMSXX	A	Int./Div.			Sold	06/20/14	J		
35. Citizens Bank Accounts	A	Interest	K	T					

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

IV. Reimbursements:

Items 5 and 6 are attributable to [redacted] of reporting person, a full-time professor at Yale Law School.

Morgan Stanley Roth IRA (Item 86 in 2013 report) was "rolled over" to TIAA CREF Roth IRA (Items 239-240 in 2013 report, and Items 25-26 in this [2014] report.)

V. Gifts:

The amounts listed are approximate values. The precise value of the hospitality at Yankees Stadium was not disclosed to us by our hosts.

VII. Investments and Trusts:

Items 1, 2 3 and 4 provide corrected information for transactions in these assets in 2013 (the report for 2013 inadvertently included incorrect dates and indicated that the sales had involved only PART of the assets; in fact, as to each of these assets, ALL were were sold on 9/23/2013).

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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/ Jose A. Cabranes

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