

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Cabranes, Jose A.	2. Court or Organization U.S. Court of Appeals	3. Date of Report 07/27/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address U.S. Courthouse 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	William Nelson Cromwell Foundation, New York, NY
2. Member	Academic Advisory Committee of the Institute for Constitutional Studies, The George Washington University, 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.)

<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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	University of Chicago Press (Royalties)
2. 2017	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Duke Law School	February 20-21, 2017	Raleigh-Durham, NC	To judge Moot Court finals	Ground transportation, airfare to and from New Haven, CT and Raleigh-Durham, NC, and meals
2. New York University School of Law	March 24, 2017	New York, NY	To present remarks at a Memorial Service for Prof. Michael E. Levine	Ground transportation to/from New Haven, CT and New York, NY
3. Eastern District of Texas Bar Association	October 4-6, 2017	Plano, TX	To moderate a panel at the Eastern District of Texas Bench and Bar Conference	Ground transportation, airfare to and from New Haven, CT and Plano, TX, and meals
4. William Nelson Cromwell Foundation	October 23, 2017	New York, NY	To attend annual business dinner meeting	Meal and transportation to New Haven, CT from New York, NY

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5.	Georgetown University Law Center	November 2-3, 2017	Washington, DC	For projected participation in academic conference, which was cancelled	Airfare to and from New Haven, CT and Washington, DC
6.	Yale University	Various dates throughout the year	New Haven, CT	To attend or participate in varied University academic and social functions	Meals and refreshments as spouse of tenured faculty member and/or as a former University Trustee

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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.	Jay Vlock and Gail Brekke (personal hospitality)	Tickets for two to baseball game and luncheon at Yankee Stadium, NY (July 26, 2017)	\$490.00
2.	Jay Vlock and Gail Brekke (personal hospitality)	Tickets for two to baseball game and luncheon at Yankee Stadium, NY (October 8, 2017)	\$1,024.00
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.			

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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. TIAA BANK BROKERAGE SWEEP ACCT (X)	A	Interest	K	T					
2. BERNSTEIN DIVERSIFIED (SNDPX)	C	Dividend	M	T	Buy	3/2/17	J		
3.					Buy	5/17/17	K		
4.					Buy	06/27/17	J		
5.					Buy	07/12/17	J		
6.					Buy	07/14/17	J		
7.					Buy	10/02/17	J		
8.					Buy	12/27/17	J		
9.					Buy	12/29/17	J		
10. FIDELITY ADVISOR EMERGING MARKETS INCOME FUND CLASS I (FMKIX)	B	Dividend	K	T					
11. FRANKLIN HIGH YIELD TAX FREE INCOME FUND ADVISOR CLASS (FHYVX)	C	Dividend	L	T	Sold (part)	2/6/17	L		
12.					Sold (part)	4/5/17	K		
13. T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE (PRSMX)	B	Dividend	L	T					
14. TIAA CREF EMERGING MARKETS EQUITY INDEX FUND INSTL. CLASS (TEQTX)	B	Dividend	L	T	Sold (part)	5/17/17	J		
15.					Sold (part)	05/17/17	J		
16. THORNBURG INTERMED MUNICIPAL EQUITY INST (THMLX)	B	Dividend	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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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)

17. WELLS FARGO ULTRA SHORT TERM MUNI INCOME FD CL I (SMAIX)	A	Dividend	M	T	Buy	03/02/17	K		
18.					Buy	03/31/17	J		
19.					Buy	06/27/17	J		
20.					Buy	07/12/17	J		
21.					Buy	07/13/17	J		
22.					Buy	10/02/17	J		
23.					Buy	12/22/17	J		
24.					Buy	12/27/17	J		
25. ISHARES TR MSCI EAFE ETF (EFA)	C	Dividend	M	T					
26. ISHARES TR RUSSELL MID-CAP VALUE ETF (IWS)	B	Dividend	M	T					
27. ISHARES TR RUSSELL MID-CAP GROWTH ETF (IWP)	A	Dividend	K	T					
28. ISHARES TR RUSSELL 1000 VALUE ETF (IWD)	C	Dividend	M	T	Buy	02/06/17	K		
29. ISHARES TR RUSSELL 1000 GROWTH ETF (IWF)	B	Dividend	M	T	Buy	02/06/17	K		
30. ISHARES TR RUSSELL 2000 VALUE ETF(IWN)	A	Dividend	K	T	Buy	02/06/17	K		
31. ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	K	T					
32. ISHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	B	Dividend	L	T	Sold (part)	02/16/17	K		
33. SPDR SER TR DOW JONES REIT ETF (RWR)	B	Dividend	K	T					

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34. Nuveen High Yield Municipal Bond (NHMRH)	A	Int./Div.	L	T	Buy	04/05/17	L		
35.		Int./Div.	L	T	Buy	04/05/17	L		
36. TIAA-CREF ANNUITY (fixed, non-variable)	C	Int./Div.	L	T					
37. TIAA-CREF PENSION	E	Int./Div.	P1	T					
38. -TIAA Traditional	E	Int./Div.	P1	T					
39. -T-C Intl Eq.Inst (TIEEX)	A	Int./Div.	K	T					
40. -TIAA Real Estate (QREARX)	A	Int./Div.	N	T					
41. -T-C Lifecycle 2015-Inst (TCNIX)	A	Int./Div.	J	T					
42. TIAA-CREF ROTH IRA	B	Int./Div.	M	T					
43. -TIAA-CREF REAL ESTATE MUTUAL FUND									
44. Hartford Life & Annuity Co. (Variable Life Ins. Policy)	A	Int./Div.			Sold	05/08/17	K		
45. -PVT Growth & Income	A	Int./Div.			Sold	05/08/17	K		
46. -HLS Stock	A	Int./Div.			Sold	05/08/17	K		
47. Citizens Bank Accounts	A	Interest	K	T					
48. Vanguard Life Strategy Conservative Portfolio (VSCGX)	C	Dividend	M	T	Buy	03/27/17	J		
49.					Buy	08/31/17	K		
50.					Buy	11/26/17	K		

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51.					Sold (part)	04/26/17	J		

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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/ 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
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Washington, D.C. 20544