

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) Jacobs, Dennis	2. Court or Organization Court of Appeals, 2d Circuit	3. Date of Report 05/04/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. Courthouse 40 Foley Square, Room 2301 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	Residential Cooperative
2.	
3.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Jacobs, Dennis

Date of Report

05/04/2015

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.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Jacobs, Dennis

Date of Report

05/04/2015

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 4 of 9

Name of Person Reporting

Jacobs, Dennis

Date of Report

05/04/2015

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. Muni Bond: NYS Dorm Au Rev Upstate CNMTY 3/3/05	B	Interest			Redeemed	07/01/14	K		
2. Muni Bond: NYC G/O Ser E Ref FSA 11/10/04	B	Interest			Redeemed	10/08/14	K		
3. Muni Bond: NYSt. Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	K	T					
4. Muni Bond: NYSt. Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	K	T					
5. Muni Bond: NYC G/O Ser. O 6/2/05	B	Interest	K	T					
6. Muni Bond: NYC G/O Ser C 8/3/05	B	Interest	K	T					
7. Muni Bond: NYSt. Thruway Gen Rev Ser H 10/11/07	B	Interest	K	T					
8. Muni Bond: Metro Govt. Nashville & Davidson Co. Elec. 3/1/01	A	Interest			Sold	04/02/14	K		
9. Muni Bond: Tampa FL Sales Tax Rev Rfdg 10/6/10	A	Interest	K	T					
10. Muni Bond: Arizona Trans. Bd. Excise Tax Ser A 11/1/07	A	Interest	K	T					
11. Muni Bond: Metro Govt. Nashville & Davidson Co. Rfdg/Ser D	A	Interest	K	T					
12. Muni Bond: King Co. Wash Sch Dist. No 412 10/21/10	A	Interest	K	T					
13. Muni Bond: Baton Rouge LA Pub Impt. Sales Tax Ser B 9/28/10	A	Interest	K	T					
14. Muni Bond: Fort Bend Tex Flood Ctrl Water Supply 10/1/10	A	Interest	K	T					
15. Muni Bond: Ohio St. Rfdg Common Schs. Ser C 10/8/10	A	Interest	K	T					
16. Muni Bond: N. Carolina St. Grant Antic Rev. Vehicle 8/5/09	A	Interest	K	T					
17. Muni Bond: UConn. Ser A 5/25/10	A	Interest	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (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
3. Value Method Codes	P3 = \$250,000,001 - \$50,000,000 (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

Page 5 of 9

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Jacobs, Dennis

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05/04/2015

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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 I (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. Muni Bond: Ohio St. Univ. Gen Rcpts Rfdg Ser D 10/6/10	A	Interest	K	T					
19. Muni Bond: Broward Co. Rfdg Prks Land Pres 4/10/12	A	Interest	K	T					
20. Muni Bond: S. Carolina St. Pub Svc Auth 11/10/10	A	Interest	K	T					
21. Muni Bond: Cypress-Fairbanks Tex Indpt School Dist 2/1/12	A	Interest	K	T					
22. Muni Bond: Wash St Univ Revs Gen B/E 2/23/12	A	Interest	K	T					
23. Muni Bond: Columbia SC Wtrwks & SWR 3/8/12	A	Interest	K	T					
24. Muni Bond: Orlando FLA Utils Commn Util Sys Rev Ref-C	A	Interest	K	T					
25. Muni Bond: Charlotte NC Genl Oblig Ref-A	A	Interest	K	T	Buy	04/11/14	K		
26. Muni Fund: Blackrock Strat Muni Opport 1 (MAMTX)	C	Dividend	M	T	Buy	05/22/14	M		
27. Muni Fund: Deutsche Interim Tax/Amt Fr S (SCMTX)	A	Dividend	K	T	Buy	11/06/14	K		
28. Money Market: Morgan Stanley US Govt Money Market Trust	A	Int./Div.	O	T					
29. Checking: Chase Manhattan Bank NYC	A	Interest	L	T					
30. Third Federal Savings & Loan Certificate of Deposit	D	Interest	M	T					
31. Bank United Certificate of Deposit	C	Interest			Matured	12/28/14	M		See Part VIII
32. Bank United Certificate of Deposit	C	Interest	M	T					
33. Fidelity Rollover IRA	G	Int./Div.	P1	T					
34. -- Fidelity Cash Reserves									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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Jacobs, Dennis

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05/04/2015

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	(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)

35. -- Baron Growth Fund									
36. -- Royce Total Return Fund									
37. -- Dreyfus MidCap Fund									
38. -- Bond: Fedl Home Ln Bks 02/13/15									
39. -- Fidelity Contrafund									
40. -- Tweedy Browne Global Value Fund									
41. -- Blackrock Global Allocation					Sold (part)	10/17/14	M		
42. --Ivy Asset Strategy Fund CL 1					Sold (part)	10/17/14	M		
43. -- Morgan Stanley Global Long Short Fund A									
44. -- Fidelity Low Priced Stock					Buy (add'l)	03/14/14	L		
45. --Blackrock Equity Divident FD - Inst					Sold	03/14/14	N		
46. -- Vanguard Limited Term Tax Exempt Admiral									
47. -- BBH Core Select Fund									
48. -- SPDR S&P 500 ETF Trust Unit 1 Ser 1 S&P									
49. --Sprtn Total Mkt Indx Fid Advantage Class									
50. -- Blackrock Strategic Muni Opportunity Fund 1					Buy	11/06/14	M		
51. -- Spartan 500 Index Fund Adv. Class					Buy	10/17/14	N		

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2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
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(See Column C2)	Q = Appraisal	V = Other		W = Estimated	
	U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Jacobs, Dennis

Date of Report

05/04/2015

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52. -- Baron Growth Fund Institutional Class					Buy	03/14/14	M		
53. TIAA-CREF	A	Dividend	M	T					
54. -- Cref Stock Account									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Jacobs, Dennis

Date of Report

05/04/2015

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

Line 31: Proceeds from the matured asset at Line 31 were deposited into the Morgan Stanley Money Market Account at line 28.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Jacobs, Dennis

Date of Report

05/04/2015

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/ **Dennis Jacobs**

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