

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) WINTER, RALPH K.	2. Court or Organization SECOND CIRCUIT COURT OF APPEALS	3. Date of Report 05/16/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES CIRCUIT JUDGE (SENIOR)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 141 CHURCH STREET NEW HAVEN, CT 06510	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. PROFESSOR (ADJUNCT) OF LAW	YALE UNIVERSITY
2. TRUSTEE	BROOKLYN LAW SCHOOL
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.	

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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. 2011	YALE LAW SCHOOL - PART-TIME TEACHING	\$54,700.02
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.	
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.	BROOKLYN LAW SCHOOL	3/07/2011-3/12/2011	BROOKLYN, NY	BLS BOARD OF TRUSTEES MEETING	TRANSPORTATION, LODGING, MEALS
2.	BROOKLYN LAW SCHOOL	3/21/2011-3/23/2011	BROOKLYN, NY	BLS CANDIDATE SELECTION MEETING	TRANSPORTATION, LODGING, MEALS
3.	BROOKLYN LAW SCHOOL	3/2720/11-3/29/2012	BROOKLYN, NY	FIRST ROUND CANDIDATE INTERVIEWS (DEAN SEARCH)	TRANSPORTATION, LODGING, MEALS
4.	BROOKLYN LAW SCHOOL	4/01/2011-4/03/2011	BROOKLYN, NY	FIRST ROUND CANDIDATE INTERVIEWS (DEAN SEARCH)	TRANSPORTATION, LODGING, MEALS

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5.	BROOKLYN LAW SCHOOL	4/21/2011-4/22/2011	BROOKLYN, NY	BLS DEAN SEARCH COMMITTEE MEETING	TRANSPORTATION, LODGING, MEALS
6.	BROOKLYN LAW SCHOOL	5/03/2011-5/04/2011	BROOKLYN, NY	BLS BOARD OF TRUSTEES MEETING	TRANSPORTATION, LODGING, MEALS
7.	BROOKLYN LAW SCHOOL	6/01/2011-6/03/2011	BROOKLYN, NY	BLS FINANCE COMMITTEE MEETING	TRANSPORTATION, LODGING, MEALS
8.	BROOKLYN LAW SCHOOL	6/07/2011-6/08/2011	BROOKLYN, NY	BLS DEAN SEARCH COMMITTEE MEETING	TRANSPORTATION, LODGING, MEALS
9.	BROOKLYN LAW SCHOOL	6/27/2011-6/28/2011	BROOKLYN, NY	BLS DEAN SEARCH COMMITTEE MEETING	TRANSPORTATION, LODGING, MEALS
10.	BROOKLYN LAW SCHOOL	10/04/2011-10/05/2011	BROOKLYN, NY	BLS BOARD OF TRUSTEES MEETING	TRANSPORTATION, LODGING, MEALS
11.	BROOKLYN LAW SCHOOL	12/02/2011-12/03/2011	BROOKLYN, NY	BLS DEAN SEARCH COMMITTEE MEETING; INTERVIEWS	TRANSPORTATION, LODGING, MEALS
12.	BROOKLYN LAW SCHOOL	12/08/2011-12/11/2011	BROOKLYN, NY	BLS BOARD OF TRUSTEES MEETING; INTERVIEWS	TRANSPORTATION, LODGING, MEALS

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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.	BROOKLYN LAW SCHOOL	USE OF 2 VACANT VISITING PROFESSORS APARTMENT (7/27/11-7/31/11); COST TO BLS MINIMAL	\$1,000.00
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.			

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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-PENSION	E	Interest	O	T					
2. NUVEEN MUN. VALUE FUND	A	Interest	K	T					
3. NUVEEN PREM. INC. MUN. FD. 4	B	Interest	K	T					
4. NUVEEN DIV. ADV. MUN. FUND	B	Interest	K	T					
5. LEGG MASON INTERMED-TERM MUN. FUND CLS	C	Interest	L	T					
6. BLACK ROCK MUN. INC. TR	B	Interest	K	T					
7. CITIBANK NA SOUTH DAKOTA BANK DEPOSIT PROGRAM	A	Interest	J	T	Sold	09/21/11			
8. WESTERN ASSET MONEY MARKET FUND CLASS A	A	Interest	J	T	Sold	09/21/11			
9. CITIBANK NA SOUTH DAKOTA BANK DEPOSIT PRORAM	A	Interest	J	T	Buy	12/31/11			
10. WESTERN ASSET MONEY MARKET FUND CLASS A	A	Interest	J	T	Buy	12/31/11			
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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

*SECTION VII, LINES 9 AND 10: THIS IS WHERE THE INTEREST FROM 2-6 WAS INVESTED.

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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/ **RALPH K. WINTER**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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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