

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) Wesley, Richard C.	2. Court or Organization U.S. Court of Appeals, 2nd Circuit	3. Date of Report 07/26/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active, U.S. Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address Livingston County Government Center 6 Court Street Geneseo, New York 14454		
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. Member		Cornell Law School Advisory Council
2. Trustee		Trust I and II
3.		
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. 2003	New York State Employees Retirement System: Pension upon Retirement at age 55
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

07/26/2016

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. 2015	New York State Employees Retirement System	\$55,000.00
2. 2015	Cornell University Teaching Stipend	\$15,000.00
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. 2015	New York Teachers Retirement
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. Federal Bar Council	02/13/2015 to 02/20/2015	LaRomana, Dominican Republic	Participated in workshops and seminars for the Federal Bar Council Attorneys	Travel, room, meals, mileage
2. College of Commercial Arbitrators	10/23/2015	New York, New York	Participated in CLE	Travel, meal, mileage
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

07/26/2016

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 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

07/26/2016

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. Key Bank	A	Int./Div.	M	T					
2. Trust I - Chevy Chase Bank Account	A	Int./Div.	J	T					
3. Trust II - Chevy Chase Bank Account	A	Int./Div.	J	T					
4. NWML Balanced Funds IRA	A	Dividend			Sold	06/05/15	J		
5. Northwestern Mutual Life (Whole Life)	C	Dividend	M	T					
6. Northwestern Mutual (Whole Life)	B	Dividend	M	T					
7. Northwestern Mutual Life (Whole Life)	C	Dividend	L	T					
8. Northwestern Mutual Life (Whole Life)	B	Dividend	K	T					
9. Northwestern Mutual Life (Whole Life)	B	Dividend	K	T					
10. Northwestern Mutual Life (Whole Life)	B	Dividend	L	T					
11. Assanti Capital Management, Inc. (IRA) Cash	A	Int./Div.			Sold	06/04/15	J		
12. DFA International Small Company Fund IRA	B	Dividend	J	T	Sold (part)	06/10/15	K		
13. DFA Emerging Markets Fund IRA	B	Dividend	J	T	Buy	06/10/15	J		
14. DFA Large Company Fund IRA	B	Dividend			Sold	06/04/15	M		
15. DFA Large Cap Value Fund IRA	B	Dividend	K	T	Sold (part)	06/10/15	K		
16. DFA Real Estate Securities Fund IRA	B	Dividend	K	T	Sold (part)	06/10/15	J		
17. DFA US Small Cap Fund IRA	A	Dividend			Sold	06/08/15	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 = \$250,001 - \$500,000,000	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 \$5,000,000,000	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 5 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

07/26/2016

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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)

18. Fidelity IRA Cash Account	A	Interest	J	T	Buy	06/08/15	K		
19. DFA Five Year Global Fixed Income Fund IRA	B	Dividend	L	T	Buy	06/10/15	K		
20. DFA International Value Fund IRA	B	Dividend	K	T	Sold (part)	06/10/15	L		
21. DFA Two year Global Fixed Income IRA	A	Dividend	L	T	Buy	06/10/15	L		
22. DFA US Vector Equity PRTF INSTL CL (DF VEX) IRA	B	Dividend	L	T	Buy	06/10/15	L		
23. DFA Core Equity DFQTX IRA	B	Dividend	K	T	Buy	06/10/15	K		
24. DFA Short Term Gov't PORT (DFFGX) IRA	B	Dividend	L	T	Buy	06/10/15	L		
25. DFA One Year Fixed Income PRTF INSTL IRA	A	Dividend	L	T	Buy	06/10/15	K		
26. Dimensional Energy Markets Value IRA	A	Dividend	J	T	Sold (part)	06/10/15	K		
27. DFA Emerging Markets Small Cap IRA	A	Dividend	J	T	Buy	06/10/15	J		
28. DFA Int'l Small Cap Value IRA	A	Dividend	J	T	Buy	06/10/15	J		
29. DFA Global Stock Fund	A	Dividend	J	T	Sold	06/11/15	J		
30.									

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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

07/26/2016

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

Trustee of Trust I and II is a life insurance trust - only value upon death. Currently, no monetary value.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

07/26/2016

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/ **Richard C. Wesley**

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