

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                          |                                                              |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br>Calabresi, Guido                                                                                                          | <b>2. Court or Organization</b><br>U.S. Court of Appeals, 2nd Cir                                                                                                                                                                                                                        | <b>3. Date of Report</b><br>07/29/2014                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br>U.S. Court of Appeals Judge, Senior Status                         | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br>U.S. Court of Appeals, 2nd Cir<br>157 Church Street<br>New Haven, CT 06510-2030                                                                    |                                                                                                                                                                                                                                                                                          |                                                              |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                              |

## 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. Sterling Professor Emeritus, Professorial Lecturer | Yale Law School, 11/01/1995 - present                         |
| 2. Honorary Trustee - Unpaid                          | Carolyn Foundation, MN, 01/01/1996 - present                  |
| 3. Member, Scientific Committee- Unpaid               | Centro Nazionale Prevenzione e Difesa Sociale, 1988 - present |
| 4. Member - Unpaid                                    | International University College, Turin Board, 2007 - present |
| 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. Present  | Right to be Professorial Lecturer, Yale University, upon retirement (See Attachments A and B)                   |
| 2. Present  | Right to use accumulated (approximately \$500) research and travel fund, Yale University, even after retirement |
| 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><br>(yours, not spouse's) |
|-------------|----------------------------------------------------------------------------------------|----------------------------------------|
| 1. 2013     | Yale University - part-time teaching                                                   | \$191,943.00                           |
| 2. 2013     | Yale University Press - royalties for previously written book and advance for new book | \$2,789.52                             |
| 3. 2013     | W.W. Norton & Co. - royalties for previously written book                              | \$175.26                               |
| 4. 2013     | Author's Registry - copyright payments for previously written books, etc.              | \$125.36                               |
| 5. 2013     | Harvard University Press - royalties for previously written book                       | \$101.28                               |
| 6. 2013     | Northwestern University Law School - part-time teaching                                | \$10,000.00                            |
| 7.          |                                                                                        |                                        |

**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. Centro Nazionale di Prevenzione e Difesa | 08/10/12<br>(reimbursement received in 2013) | Milan, Italy    | Academic meeting | Travel, food, lodging         |
| 2. School for Magistrates                   | 01/10/13                                     | Florence, Italy | Lecture          | Travel                        |

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|     |                                                              |                      |                    |                                      |                       |
|-----|--------------------------------------------------------------|----------------------|--------------------|--------------------------------------|-----------------------|
| 3.  | Centro Nazionale di Prevenzione e Difesa                     | 01/11/13             | Milan, Italy       | Academic meeting                     | Travel                |
| 4.  | University of Brescia, Italy                                 | 01/19/13 to 01/22/13 | Brescia, Italy     | Lectures, Honorary degree            | Travel, food, lodging |
| 5.  | ALMA (Assoc. L.L.M. Graduates)                               | 01/24/13 to 01/25/13 | New York, NY       | Lecture                              | Travel, food, lodging |
| 6.  | New York University Law School                               | 02/24/13             | New York, NY       | Moot court                           | Travel                |
| 7.  | University of Trieste, Italy                                 | 03/12/13             | Trieste, Italy     | Lecture                              | Travel, food, lodging |
| 8.  | Consiglio Nazionale Forense (National Counsel of Barristers) | 03/13/13 to 03/16/13 | Rome, Italy        | Lecture                              | Travel, food, lodging |
| 9.  | Yale University Law School                                   | 03/22/13             | Washington, DC     | Represent School at memorial service | Travel                |
| 10. | Northwestern University Law School                           | 04/07/13 to 04/10/13 | Chicago, IL        | Lecture, Moot court                  | Travel, food, lodging |
| 11. | Yale University Law School                                   | 04/15/13             | New Haven, CT      | Academic meeting                     | Food                  |
| 12. | Yale University Law School                                   | 04/17/13             | New Haven, CT      | Academic meeting                     | Food                  |
| 13. | Canadian Institute of Advanced Legal Studies                 | 07/07/13 to 07/09/13 | Cambridge, England | Lecture                              | Travel, food, lodging |
| 14. | Notre Dame University Law School                             | 07/10/13 to 07/11/13 | Florence, Italy    | Academic meeting                     | Travel, food          |
| 15. | Aspen Institute Italia                                       | 07/12/13 to 07/15/13 | Venice, Italy      | Academic meeting                     | Travel, food, lodging |
| 16. | Centro Nazionale di Prevenzione e Difesa                     | 10/22/13 to 10/23/13 | Milan, Italy       | Academic meeting                     | Travel, food, lodging |
| 17. | University of Bologna, Italy                                 | 10/25/13             | Bologna, Italy     | Lecture                              | Travel, food          |

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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. |               |                    |              |
| 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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Name of Person Reporting

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Mass Mutual (whole life) Insurance                                                                                      | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. New York Life (whole life) Insurance                                                                                    | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. AIG Sun America (whole life) Insurance                                                                                  |                                        | None                                          | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Graduate Club Association bond                                                                                          | A                                      | Interest                                      | J                                              | T                                         | Buy                                             | 11/08/13                | J                               |                                | Graduate Club Association                                         |
| 5. Bank of America checking account                                                                                        | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Bank of America IMMA account                                                                                            | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Banca CR. Firenze checking acct                                                                                         | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Merrill Lynch Bank & Trust USA - cash                                                                                   | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. I Shares T S&P 500 (mutual fund) @ Merrill Lynch                                                                        | D                                      | Dividend                                      | O                                              | T                                         | Donated (part)                                  |                         |                                 |                                |                                                                   |
| 10. American Growth Fund Mutual Fund @ Merrill Lynch                                                                       | D                                      | Dividend                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Trust #1, income beneficiary                                                                                           | G                                      | Int./Div.                                     | P2                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. --First Am. Tax Free Oblig Fund (cash equiv.)                                                                          |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 13. --Nuveen Symphony Mid Cap Core I Fund (mutual fund)                                                                    |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 14. --Nuveen International Select Fund (mutual fund)                                                                       |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 15. --Nuveen International Select Fund (mutual fund)                                                                       |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 16. --General Mills (common)                                                                                               |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 17. --American Funds: Investment Co. of America (mutual fund)                                                              |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                     |                                                      |                                                                                       |                                                            |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------|------------------------------------------------------|---------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                       | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                 | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$250,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$5,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                       | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                         | T =Cash Market                                             |                        |

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Name of Person Reporting

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07/29/2014

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Trust #2, income beneficiary                                                                                           | F                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. --First Am. Tax Free Oblig. Fund (cash equiv.)                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 20. --American Funds: Investment Co. of America (mutual fund)                                                              |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 21. --Minnesota Mining & Mfg. (common)                                                                                     |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 22. --Nuveen Symphony Mid Cap Core I (mutual fund)                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 23. --Nuveen Mid-Cap Select Fund Cl Y (mutual fund) FATIX                                                                  |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 24. --Nuveen. International Select Fund (mutual fund)                                                                      |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 25. --Nuveen International Select Fund (mutual fund)                                                                       |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 26. Trust #3, income beneficiary                                                                                           | H1                                     | Int./Div.                                     | P2                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. --Darden Restaurants (common)                                                                                          |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 28. --Exxon (common)                                                                                                       |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 29. --General Mills (common)                                                                                               |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 30. --IBM (common)                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 31. --JP Morgan (common)                                                                                                   |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 32. --AT&T Inc. (common)                                                                                                   |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 33. --US Bancorp (common)                                                                                                  |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 34. --American Funds: Invesment Co. of America (mutual fund)                                                               |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 1 Income Gain Codes:    | 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 |
| (See Columns B1 and D4) | 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           | 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 |                        |
|                         | P3 =\$25,000,001 - \$50,000,000 |                            | P4 =More than \$50,000,000    |                                |                        |
| 3 Value Method Codes    | Q =Appraisal                    | R =Cost (Real Estate Only) | S =Assessment                 | T =Cash Market                 |                        |
| (See Column C2)         | U =Book Value                   | V =Other                   | W =Estimated                  |                                |                        |

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. --Merrill Lynch Bank & Trust USA - cash                                                                                |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 36. --Am. Growth Fund ( mutual fund)                                                                                       |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 37. --Am. Euro Pacific Growth Fund (mutual fund)                                                                           |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 38. Trust #4, income beneficiary                                                                                           | E                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. --Merrill Lynch Bank USA - CMA Money Fund (cash equiv.)                                                                |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 40. --I Shares T S&P 500 (mutual fund)                                                                                     |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 41. --Bank of America (common)                                                                                             |                                        |                                               |                                                |                                           | Buy                                             | 04/09/13                | M                               |                                |                                                                   |
| 42. Trust #5, income beneficiary                                                                                           | G                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. --Bank of America (common)                                                                                             |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 44. --Morgan Stanley Emerging Market Fd. (mutual fund)                                                                     |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 45. --Bank of America checking account - Cash                                                                              |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 46. Guido Calabresi Retirement, TIAA-CREF                                                                                  | G                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. Bank of America (common) @ Merrill Lynch                                                                               | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/05/13                | M                               |                                |                                                                   |
| 48. Trust #6, income beneficiary                                                                                           | F                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. --Grantham, Mayo, Van Otterloo (mutual funds)                                                                          |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 50. American Funds: Investment Co. of America (mutual fund)                                                                | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 51. Citigroup Inc. (common) @ Merrill Lynch                                                                                | A                                      | Dividend                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
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| (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 |                        |
|                         | P3 =\$25,000,001 - \$50,000,000 |                            | P4 =More than \$50,000,000    |                                |                        |
| 3 Value Method Codes    | Q =Appraisal                    | R =Cost (Real Estate Only) | S =Assessment                 | T =Cash Market                 |                        |
| (See Column C2)         | U =Book Value                   | V =Other                   | W =Estimated                  |                                |                        |

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| Name of Person Reporting | Date of Report |
| Calabresi, Guido         | 07/29/2014     |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. ROTH IRA#1, SPDR Russell 3000 ETF (THRK)                                                                               | G                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. ROTH IRA#2, SPDR Russell 1000 ETF (ONEK)                                                                               | G                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. ROTH IRA#3, SPDR Russell Sm Cap Completeness ETF (RSCO)                                                                | G                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                     |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                       | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$250,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                       | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Calabresi, Guido         | 07/29/2014     |

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

### Part 1. POSITIONS

Line 4- Assets of the Carolyn Foundation are not listed because my position as Trustee is "Honorary" only. I have no functional responsibilities with regard to the foundation.

### Part VII INVESTMENTS AND TRUSTS

- 1) I have not included an olive grove in Italy held for vacation trips and not for investment or the production of income.
- 2) Trusts #3, #4, and #5 in Part VII (Assets #26, #38, and #42) and the retirement accounts described in Part VII (Assets #46, #52, #53, and #54) did not distribute any income to me or to an immediate member. Income was earned and not distributed. Items #46, #52, #53 and #54: Since the reports that I received did not distinguish between realized and unrealized gains, I have included all gains in my income figure.
- 3) Trust #6 (Asset #48) in Part VII is a Charitable Remainder Unitrust established in 1995 by a member and me.. The member and I are 5.5% income beneficiaries during our lives or 20 years, whichever is longer. The trustee is instructed to invest the money in widely diversified mutual or money market funds.
- 4) Part VII, page 5, line 13. This asset was formerly known as Nuveen Mid Cap Select (mutual fund) - name changed to Nuveen Symphony Mid Cap Core I.
- 5) Part VII, page 5, line 14 and Part VII, page 6, line 24. These assets were formerly known as Nuveen International Fund (mutual fund). The fund merged into Nuveen International Select Fund.
- 6) Part VII, page 6, line 22. This asset was formerly known as Nuveen Small Cap Fund (mutual fund) - merged into Nuveen Symphony Mid Cap Core I.
- 7) Part VII, page 7, line 52. This asset was formerly known as SPDR Dow Jones Total Market ETF (TMW). It is now SPDR Russell 3000 ETF (THRK).
- 8) Part VII, page 7, line 53. This asset was formerly known as SPDR Dow Jones Large Cap ETF (ELR). It is now SPDR Russell 1000 ETF (ONEK).
- 9) Part VII, page 7, line 54. This asset was formerly known as SPDR Dow Jones Mid Cap ETF (EMM). It is now SPDR Russell Small Cap Completeness LTF (RSCO).

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Name of Person Reporting

Calabresi, Guido

Date of Report

07/29/2014

## 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/ Guido Calabresi**

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)

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Administrative Office of the United States Courts  
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