

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/31/2019
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 01/01/2018 to 12/31/2018
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director	Residential Cooperative
2.		
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.		
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.)*

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. Cornell Law School	10/30/18 - 11/01/18	Ithaca, New York	Teaching	Transportation, Lodging, Food
2.				
3.				
4.				
5.				

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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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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: Baton Rouge LA Pub Impt. Sales Tax Ser B 9/28/10	A	Interest			Redeemed	08/01/18	K		
2. Muni Bond: Fort Bend Tex Flood Ctrl Water Supply 10/1/10	A	Interest	K	T					
3. Muni Bond: Ohio St. Rfdg Common Schs. Ser C 10/8/10	A	Interest	K	T					
4. Muni Bond: N. Carolina St. Grant Antic Rev. Vehicle 8/5/09	A	Interest	K	T					
5. Muni Bond: Ohio St. Univ. Gen Rpts Rfdg Ser D 10/6/10	A	Interest	K	T					
6. Muni Bond: Broward Co. Rfdg Prks Land Pres 4/10/12	A	Interest			Redeemed	01/02/18	K		
7. Muni Bond: Cypress-Fairbanks Tex Indpt School Dist 2/1/12	B	Interest	K	T					
8. Muni Bond: Wash St Univ Revs Gen B/E 2/23/12	B	Interest	K	T					
9. Muni Bond: Columbia SC Wtrwks & SWR 3/8/12	B	Interest	K	T					
10. Muni Bond: Orlando FLA Utils Commn Util Sys Rev Ref-C	A	Interest	K	T					
11. Muni Bond: Charlotte NC Genl Oblig Ref-A	B	Interest	K	T					
12. Muni Bond: Harbor Beach, MI Comm. Sch. Dist. Ref. 5/1/2026	A	Interest	J	T					
13. Muni Bond: Temple, TX Genl. Oblig Ref. & Impt. Genl. Oblig. 8/1/19	A	Interest	J	T					
14. Muni Bond: City of Chicago O'Hare Intl. Airp. Non Amt. Rev Ref B	A	Interest	K	T					
15. Muni Fund: Blackrock Strat Muni Opport 1 (MAMTX)	E	Dividend	O	T					
16. Muni Fund: Deutsche Interim Tax/Amt Fr S (SCMTX)	B	Dividend			Sold	10/09/18	L		
17. Money Market: Morgan Stanley US Govt Money Market Trust	D	Int./Div.	N	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 = \$15,001 - \$50,000 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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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18. Muni Bond: Central Dauphin PA Sch Dist 02/01/28	A	Interest	J	T					
19. Muni Bond: Lancaster Cnty PA Genl Oblig Ref A 5/1/27	A	Interest	J	T					
20. Muni Bond: Lancaster Cnty PA Genl Oblig Ref A 5/21/28	A	Interest	K	T					
21. Muni Bond: Bd Regents Tx St Univ Fin Rev Ref A 01/01/17	A	Interest	J	T					
22. Muni Bond: Kane & DeKalb Cntys, Ill.Comm. Sch. Dist. 302	A	Interest	K	T					
23. Muni Bond: Deschutes Cnty Ore Admin Sch Dist No 1	A	Interest	J	T					
24. Muni Bond: Georgetown Tex Genl Oblig Ref 8/15/24	A	Interest	J	T					
25. Muni Bond: Georgetown Tex Genl Oblig Ref 08/15/27	A	Interest	J	T					
26. Muni Bond: Univ NC Charlotte Rev-A 10/01/30	A	Interest	K	T					
27. Muni Bond: Pike Twp Ind Multi-Sch Bldg Corp 1/15/22	A	Interest	J	T	Buy	06/06/18	J		
28. Muni Bond: Virginia Commnth Transn Brd Fe D Trans Grnt 1/3/18	A	Interest	K	T	Buy	01/03/18	K		
29. Muni Bond: Tillamook & Yamhill Cntys Sch Dist No 101 Ser B	A	Interest	K	T	Buy	08/02/18	K		
30. ETF: SPDR Ser Trust BBG BCL	A	Dividend	L	T	Buy	10/15/18	L		
31. Checking: Chase Manhattan Bank NYC	A	Interest	K	T					
32. Fidelity Cash Reserves Account	C	Dividend	M	T					
33. Dreyfus MidCap Fund	B	Dividend	M	T					
34. Fidelity Contrafund	C	Distribution	N	T					

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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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35. Blackrock Global Allocation	C	Dividend			Sold	12/03/18	N		
36. Morgan Stanley Global Long Short Fund A	A	Dividend			Distributed (part)	02/05/18	J		
37. Morgan Stanley Global Long Short Fund		None			Sold	05/09/18	J		
38. Fidelity Low Priced Stock	D	Dividend	N	T					
39. BBH Core Select Fund		None			Sold	12/03/18	M	E	
40. SPDR S&P 500 ETF Trust Unit 1 Ser 1 S&P	C	Dividend	M	T					
41. Fidelity Total Mkt Indx Fid Premium Class	D	Dividend	N	T					
42. Blackrock Strategic Muni Opportunity Fund I	D	Dividend	N	T					
43. Fidelity 500 Index Fund Premium Class	E	Dividend	O	T					
44. Glenmede Large Cap Core Institutional	C	Dividend	N	T					
45. Deutsch Intermediate Tax /Amt Free Fund In	D	Dividend			Sold	12/03/18	M		
46. Deutsch Intermediat Tax/Amt Free Fund In		None			Sold	01/12/18	L		
47. iShares iBoxx Investment Grade Corp Bond ETF	B	Dividend			Sold	02/18/18	N		
48. Fidelity MMKT Premium Class	C	Dividend	M	T					
49. Spdr Ser TR Spdr Bloomberg (BIL)	B	Dividend	N	T	Buy	11/30/18	N		
50. Cref Stock R3		None	M	T					

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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/ 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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