

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) Leval, Pierre N.	2. Court or Organization U.S. Court of Appeals, 2nd Cir	3. Date of Report 08/01/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2018 to 12/31/2018
7. Chambers or Office Address 40 Foley Square Rm 1901 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.	Council member - Emeritus	The American Law Institute
2.	Trustee, Executor	Family members
3.	Member - Photography Committee	Museum of Modern Art
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 5/8/2018	William & Mary Law School	\$1,000.00
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. Jan-Dec.	State St. Cultural Inst. Pension Plan - pension
2. 1/20/2018	Blanchette H. Rockefeller Trust - fee
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. American Law Institute	1/18/2018	Philadelphia, PA	Conference	Travel/hotel
2. " "	3/9/2018	" "	" "	" "
3. William & Mary Law School	5/10/2018	Williamsburg, VA	Teach	Travel/hotel
4. Yale Law School	5/14/2018	New Haven, CT	Lecture	Travel
5. Harvard Law School	5/18/2018	Cambridge, MA	Lecture	Travel/hotel

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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. Abbot Labs (common stock)(self & spouse)	E	Dividend	P1	T					
2. Abbvie Inc. (common stock) (self/spouse)	E	Dividend	P1	T					
3. Exxon Mobil (common)	D	Dividend	N	T					
4. MRO	A	Dividend	J	T					
5. Daimler Chrysler (common)	A	Dividend	J	T					
6. FMC Money Mkt (self & spouse) (Dreyfus)	A	Interest	J	T					
7. FMC Select Fund (common) (self & spouse) (see ** Pt. VIII)	G	Dividend			Sold	01/29/18	P1	G	
8. Hershey (common)(s)	C	Dividend	M	T					
9. Gen. American Inv. (common) (GAM) (s)	E	Dividend	N	T					
10. Chase Bank (account) (s)	A	Interest	J	T					
11. Chase Bank (account) (self)		None	L	T					
12. Citibank account		None	J	T					
13. Art Works		None	M	W					
14. Chase bank account (trust)		None	J	T					
15. Vanguard GNMA Fixed Income Fund (self + spouse)	B	Interest	M	T	Buy	10/04/18	M		
16. Vanguard GNMA Fixed Income Fund (trust)	B	Interest	L	T					
17. FHKCX	A	Dividend	K	T					

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 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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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18. FEMKX	A	Dividend	J	T					
19. FXAIX (symbol changed from FUSVX)	D	Dividend	M	T					
20. FLGEX	A	Dividend	J	T					
21. HGOAX (symbol changed from HGOCX)	B	Dividend	K	T					
22. IHSAX		None	K	T					
23. HNSAX (symbol changed from HNSCX)	A	Dividend	J	T					
24. IHOAX (symbol changed from HIOCX)	A	Dividend	J	T					
25. ITHAX (symbol changed from HCACX)	C	Dividend	K	T					
26. IGNAX (symbol changed from IGNCX)		None	J	T					
27. VTRIX	A	Dividend	J	T					
28. FNYXX	A	Interest	J	T					
29. VDIGX	D	Dividend	N	T					
30. CENT Puget Sound 4.750 2/1/28	A	Interest	M	T	Buy	04/11/18	L		
31. CENT Puget Sound 4.750 2/1/28 (see * Pt. VIII)					Buy (add'l)	10/05/18	L		
32. Jacksonville 5.375 8/15/23	D	Interest	M	T					
33. Detroit Mich Water 5.75 7/1/24	B	Interest			Redeemed	10/09/18	M		
34. Detroit Mich Sewer 5.250 7/1/24	B	Interest	K	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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☐ NONE (No reportable income, assets, or transactions.)

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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. Detroit Water 5.75 7/1/26	C	Interest			Redeemed	10/09/18	L		
36. Guam Pwr Bond 5.0 10/1/26	B	Interest	K	T					
37. Guam Arpt Bond 5.00 10/1/23	B	Interest	L	T					
38. Guam Pwr 5.00 10/1/23	B	Interest	K	T					
39. Guam Pwr 5.00 10/1/24	B	Interest	M	T	Buy	10/15/18	M		
40. Guam Pwr 5.00 10/01/34	B	Interest	K	T					
41. Guam Pwr 5.00 10/01/30	B	Interest	N	T	Buy	10/15/18	N		
42. Monroe 5.75 bond 8/15/30	D	Interest	N	T					
43. Monroe 5.75 bond 2035 8/15/35	C	Interest	L	T					
44. E. Rochester 5.00 8/15/27	C	Interest			Redeemed	04/20/18	L		
45. E. Rochester 5.00 4/20/27	C	Interest	L	T					
46. Kentucky 6.0 bond 10/1/19	B	Interest			Redeemed	10/29/18	K		
47. Michigan Hosp. bond 5.25 5/15/26	B	Interest	K	T	Redeemed (part)	05/15/18	J		
48. Mississippi Dev. 6.75 12/1/33	D	Interest	M	T					
49. Mississippi Hosp. bond 5.00 8/1/22	B	Interest	K	T	Redeemed (part)	08/01/18	K		
50. NY Dorm 6.50 8/15/30	B	Interest			Sold	12/21/18	K		
51. NY Dorm 6.25 8/15/34	C	Interest	L	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. NY Dorm 5.0 10/1/26	C	Interest	L	T					
53. NY Dorm 5.0 7/1/24	B	Interest	K	T					
54. NY Dorm 5.0 10/1/30	B	Interest	K	T					
55. NY Dorm 5.0 10/1/28	B	Interest	K	T					
56. NYS Dorm 5.00 10/01/32	B	Interest	L	T					
57. NYS Dorm 5.75 02/15/20	B	Interest	K	T					
58. NY Dorm 2.125 callable 7/1/21		None	L	T	Buy	10/19/18	L		
59. Penn 2.50 callable 10/1/20		None	L	T	Buy	10/24/18	L		
60. PR 5.375 7/1/25	D	Interest	M	T					
61. PR 5.5 7/1/19	D	Interest	M	T					
62. PR HSG 5.125 12/1/27	C	Interest	M	T	Buy (add'l)	10/15/18	L		
63. PR 4.65 12/01/23	C	Interest	M	T					
64. Puerto Rico bond 4.95 7/1/26	C	Interest	M	T					
65. Puerto Rico Comm. 5.5 7/1/20	B	Interest	K	T					
66. PR HSG 4.60 12/1/24	B	Interest	L	T	Buy	10/15/18	L		
67. Puerto Rico Pub Fin 6.00 8/1/26	B	Interest			Sold	12/21/18	K		
68. Puerto Rico 5.25 7/1/22	C	Interest	L	T					

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69. Suffolk 5.00 2/1/26	A	Interest	K	T	Buy	07/01/18	K		
70. Suffolk 5.00 10/15/23	C	Interest	M	T					
71. Virgin I bond 5.0 10/1/28	B	Interest	K	T					
72. Virgin I Pub Fin bond 4.0 10/1/22	C	Interest	K	T	Redeemed (part)	10/01/18	K		
73. Virgin I Pub Fin 5.0 10/1/27	C	Interest	M	T					
74. Virgin I Pub Fin 5.25 10/1/24	D	Interest	M	T					
75. NY Util. Debt 5.0 12/15/32	B	Interest	K	T					
76. NY Util. Debt 5.0 12/15/36	B	Interest	K	T					
77. UTIL 5.00 12/15/29	B	Interest	M	T	Buy	10/18/18	M		
78. UTIL 5.00 12/15/30	B	Interest	L	T	Buy	04/18/18	L		
79. UTIL 5.00 12/15/27	B	Interest	M	T	Buy	10/15/18	M		
80. CENT Puget 4.75 2/1/28 (s)	B	Interest	L	T	Buy	01/11/18	K		
81. CENT Puget 4.75 2/1/28 (s) (see * Pt. VIII)					Buy (add'l)	10/05/18	K		
82. Bd. Man. Guadalupe bond 5.375 8/15/27 - spouse	C	Interest			Redeemed	08/15/18	L		
83. Detroit Water 5.75 7/1/25 - spouse	C	Interest			Redeemed	10/09/18	L		
84. Guam Arpt. Bond 5.00 10/1/23 (spouse)	B	Interest	L	T					
85. Guam Pwr Bond 5.00 10/1/23 (Spouse)	B	Interest	K	T					

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86. Guam Pwr 5.00 10/1/24 (s)		None	M	T	Buy	10/15/18	M		
87. Monroe Cty 5.75 2035 (spouse)	D	Interest	M	T					
88. Monroe Bond 5.75 8/15/30 (Spouse)	C	Interest	L	T					
89. Monroe 5.00 6/1/24 (s)	B	Interest	L	T	Buy	07/16/18	L		
90. NY Dorm 6.25 8/15/34 spouse	B	Interest	K	T					
91. NYS Dorm 5.0 10/1/26 - spouse	B	Interest	L	T					
92. NYS Dorm 6.5 8/15/30 spouse	B	Interest	K	T					
93. NYS Dorm 5.0 7/1/24 spouse	B	Interest	K	T					
94. NY Dorm 5.00 3/15/31 (s)	B	Interest	L	T	Buy	08/16/18	L		
95. NYS Dorm (spouse) 5.75 02/15/20 (see *** Pt. VIII)	B	Interest	K	T					
96. NYS Urban Bond 5.00 3/15/26 (Spouse)	B	Interest	L	T					
97. NY Twy 5.0 1/1/33	B	Interest	K	T					
98. Penn 2.50 call 10/1/20	A	Interest	K	T	Buy	10/25/18	K		
99. Puerto Rico (spouse) 6.0% 7/1/18 Bond	C	Interest			Redeemed	07/02/18	L		
100. Puerto Rico (spouse) 4.95% 7/1/26 Bond	B	Interest	M	T	Buy (add'l)	10/15/18	L		
101. P.R. HSG 5.125 12/1/27 (s)	B	Interest	L	T	Buy	10/15/18	L		
102. P.R. HSG 4.65 12/1/23 (s)	B	Interest	L	T	Buy	10/05/18	L		

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103. Puerto Rico Pub Fin (spouse) 5.125 6/1/24	C	Interest	L	T					
104. PR (spouse) 5.00 07/01/28	B	Interest	L	T					
105. Virgin I 5.0% (spouse) 10/1/28 Bond	B	Interest	K	T					
106. Virgin I. 5.0% (spouse) 10/1/30 Bond	C	Interest	L	T	Redeemed (part)	10/01/18	J		
107. Utility 5.00 12/15/27 (s)	B	Interest	L	T	Buy	10/15/18	L		
108. Utility Debt (spouse) 5.00 12/15/30	A	Interest	K	T	Redeemed (part)	10/01/18	K		
109. JPMorgan Tax Free Bond VANTX self	A	Interest	K	T					
110. VOO	B	Dividend	L	T					

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

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Name of Person Reporting

Leval, Pierre N.

Date of Report

08/01/2019

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

* This line reports only a transaction. The first line relating to this security reports income in Column B and year's end gross value in Column C.

* * This security was sold on various dates from 1/29/18 to 10/3/18.

* * * This security, which bears interest at 5.75%, was mistakenly reported as bearing interest at 5.70% in my 2017 statement.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Leval, Pierre N.

Date of Report

08/01/2019

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/ **Pierre N. Leval**

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