

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Lynch, Gerard E.	2. Court or Organization U.S. Court of Appeals, Second Circuit	3. Date of Report 05/15/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address 500 Pearl Street New York, NY 10007	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 NONE 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Professor of Law	Columbia University
2.	
3.	
4.	
5.	

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DIRECTOR'S OFFICE

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. 1/1/09	Columbia University	\$24,520.00
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. 1/1/09	Flushing Hospital
2. 1/1/09	Private Practice of Psychotherapy
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.	University of California - Santa Barbara	January 7 - 11	Santa Monica, CA	Law and Neuroscience Conference	Transportation, lodging, meals
2.	Duke University	February 5 - 6	Raleigh-Durham, NC	Academic Conference	Transportation, lodging, meals
3.	University of California - Santa Barbara	September 21 - 27	Chicago, IL	Law and Neuroscience Conference	Transportation, lodging, meals
4.	Yale University	October 6	New Haven, CT	Teaching Class	Transportation
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. Citibank Accounts	A	Interest	L	T					
2. Merrill Lynch Money Market	B	Dividend	L	T					
3. Ameriprise Money Market	A	Interest	K	T	Buy (add'l)	12/31/09	J		
4. New York NY FSA-CR		None			Redeemed	01/02/09	K		
5. Blackrock NY Muni Inc. Tr.	A	Dividend	J	T					
6. Gabelli Utility Trust PFD	A	Dividend	J	T					
7. ING Savings Account	A	Interest	J	T					
8. Nicholas Applegate Con. Ed.	A	Dividend	J	T					
9. ING Clarion Global Equity Fund	A	Dividend	J	T					
10. PIMCO NY Muni Fnc. Fd.	A	Dividend	J	T					
11. Blackrock Global Allocation B	A	Dividend	J	T					
12. Triborough BTA Bonds		None	L	T					
13. Alliance Bernstein Gr./Inc. Fund A&B	A	Dividend	J	T					
14. Eaton Vance Enhanced Equity Fd.	A	Dividend	J	T					
15. Eaton Vance Tax Managed Global Fund	A	Dividend	J	T					
16. Nuveen Municipal Value	A	Dividend	K	T					
17. Oppenheimer Main St. A	A	Dividend	K	T					

1. Income Gain Codes: A = \$1,000 or less
(See Columns B1 and D4) F = \$50,001 - \$100,000
2. Value Codes: J = \$15,000 or less
(See Columns C1 and D3) N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
3. Value Method Codes: Q = Appraisal
(See Column C2) U = Book Value

B = \$1,001 - \$2,500
C = \$2,501 - \$5,000
D = \$5,001 - \$15,000
E = \$15,001 - \$50,000
F = \$50,001 - \$100,000
G = \$100,001 - \$1,000,000
H = \$1,000,001 - \$5,000,000
I = \$5,000,001 - \$100,000,000
J = \$100,001 - \$250,000
K = \$250,001 - \$500,000
L = \$500,001 - \$1,000,000
M = \$1,000,001 - \$5,000,000
N = \$5,000,001 - \$25,000,000
O = \$25,000,001 - \$50,000,000
P = \$50,000,001 - \$100,000,000
Q = \$100,000,001 - \$500,000,000
R = Cost (Real Estate Only)
S = Assessment
T = Cash Market
U = Estimated
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. 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. PIMCO Floating Rate Strategy FD	A	Dividend	J	T					
19. Growth Fund Amer. Inc.	A	Dividend			Sold	07/01/09	J		
20. Putnam Int'l. Gr. Fund	A	Dividend	J	T					
21. Alpine Total Dynamic Div. Fd.	B	Dividend	J	T					
22. AIM Tax Free Int. Shares	A	Dividend	J	T					
23. Eaton Vance Floating Rate Inc. Tr.	A	Dividend	J	T					
24. Rochester Muni Fd. CIA	C	Dividend	J	T					
25. Templeton Dev. Mkt. Trust A	A	Dividend	J	T					
26. Yonkers NY Indl. Dev. Agency		None			Redeemed	01/02/09	K		
27. Rydex Ser Tr. Juno Fd.		None	J	T					
28. NYS Trans. Fin.	B	Interest	K	T					
29. Franklin Utilities	A	Dividend	J	T					
30. SunAmerica New Century Fd. A		None	J	T					
31. TIAA-CREF		None	O	T					
32. Franklin Income Fd. C	A	Dividend	J	T					
33. ING Risk Managed Nat. Res. Fd.	A	Dividend	J	T					
34. Nuveen Global Fd.	B	Dividend	J	T					

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

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☐ 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)
35. NYC Bonds	A	Interest	J	T					
36. Port Authority Bonds	A	Interest	J	T					
37. NYS Dorm Auth. Bonds	B	Interest	L	T					
38. Hartford Corp. Apprec. Fd.	A	Dividend	J	T					
39. Fidelity Adv. Div. Int'l.	A	Dividend	J	T					
40. Metro Trans. Auth. NY	B	Interest	L	T					
41. Lord Abbett NY TIF	B	Interest	K	T					
42. PIMCO Long-term U.S. GOVT.	A	Interest	J	T					
43. Putnam Amer-govt. Income FD	A	Interest	J	T					
44. Seligman NY Muni FD	A	Interest	K	T					
45. JPMorgan Chase CD	A	Interest			Redeemed	05/28/09	J		
46. Fidelity Adv. Govt. Income FD	A	Interest	J	T					
47. Franklin U.S. Govt. Sel. FD	A	Dividend	K	T					
48. Lord Abbett Short Duration Income FD	A	Dividend	J	T					
49. Amer. Exp. Cent Bk C'T	A	Interest	K	T					
50. Hartford US Govt. Sel. FD	A	Dividend	J	T					
51. Rental Property, New York, NY (2002, \$272,500)	C	Rent	N	R					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
O = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

H2 = More than \$5,000,000
M = \$100,001 - \$250,000

3. Value Method Codes
(See Column C2)

P3 = \$250,000.001 - \$50,000,000
Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

P4 = More than \$50,000,000
S = Assessment
W = Estimated

T = Cash Market

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	Code 1 (A-H)		Code 2 (J-P)	Method Code 3 (Q-W)			Code 2 (J-P)	Code 1 (A-H)	
52. Advisers Disciplined Trust Unit 226	B	Dividend	K	T					
53. SPDR Series Trust	A	Dividend	J	T	Buy	07/01/09	J		
54. Nassau County Bonds	A	Interest	K	T	Buy	04/29/09	K		

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

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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

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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544