

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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

1. Person Reporting (Last name, First name, Middle initial) NEWMAN, Jon O	2. Court or Organization U.S.C.A., Second Circuit	3. Date of Report 5/5/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	5. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address U.S. Courthouse 450 Main Street Hartford, CT 06103	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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Corporator	Hartford Hospital
2. Corporator	Institute of Living
3. Elector	Hartford Atheneum
4. Life Regent	University of Hartford
5. Trustee	[REDACTED], Charit. Rem. Unitrust
6. Board Member	American Judicature Society
7. Board Member	Connecticut Appleseed Foundation
8. Chair	Friends of the Library of the Supreme Court of Israel, Inc.
9. Board Member	Endowment Foundation of the Jewish Federation of Greater Hartford, Inc.

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ **NONE** - (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	

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NEWMAN, Jan ●

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II. 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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1. 9/15/03

University of North Carolina Press - royalty

\$1,041.00

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☒ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE

1.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1. University of North Carolina Press

Roundtrip airfare Hartford-Washington, D.C.

2.

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☐ **NONE** - (No such reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Hartford Club	Waiver of annual dues	\$1,667
2.	Tumble Brook Country Club	Partial reduction of annual dues	\$4,478

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☒ **NONE** - (No reportable liabilities.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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-I)	(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, matur., redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- F)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. BANK ACCOUNTS AND CASH:									
2. Fleet Bank -- West Hfd., CT., Checking Acct.	A	Interest	L	T					
3. Fleet Bank -- West Hfd., CT., Checking Acct.		None	J	T					
4. Fleet Bank -- West Hfd., CT., IRA (certs. of deposit)		None			Closed	1/1	K		Rolled over to Line 124
5. Fleet Bank -- West Hfd., CT., IRA (certs. of deposit)		None			Closed	1/1	J		Rolled over to Line 125
6. Schwab I. Hfd., Conn., Money Market Acct.	A	Interest	J	T					
7. Webster Bank, West Hfd., CT, Checking Acct.	A	Interest	K	T					
8. Smith Barney, New Haven, CT., Money Market Acct.	D	Interest	M	T					
9. Smith Barney, New Haven, CT., Money Market Acct.	A	Interest	N	T					
10. BONDS:									
11. U.S. Treasury Bond 11.5	E	Interest	M	T					
12. Conn. Bond '09 5.4	A	Interest	K	T					
13. Conn. Bond '10 5.6	B	Interest			Called	11/17	K		
14. Conn. Higher Ed. '03 5.6	A	Interest			Matured	5/15	J	A	
15. E. Baton Rouge La. '16	D	Interest			Called	5/1	M	D	
16. Houma La. Transit '11	C	Interest	L	T					
17. Intermountain Utah Power '16	B	Interest	L	T	Part called	5/16	K	C	
18. Jeff. Par. La. Hosp. '09	A	Interest	J	T					

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 = \$50,000,001-\$100,000,000 P5 = More than \$100,000,000

3. Value Method Codes: Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash/Market
(See Columns C2) U = Bond Value V = Other W = Estimated

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
	Amount Code 1 (A -I)	Type (e.g. div. rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)		(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- I)	(5) Identity of buyer/seller (if private transaction)
19. Lafayette La. Transit '11	B	Interest	K	T					
20. W. Monroe La. '10	C	Interest	K	T					
21. W. Monroe La. '11	A	Interest	J	T					
22. New Orleans, La. '17	B	Interest			Called	10/1	K	A	
23. Rapides Par. La. '10	A	Interest	J	T					
24. Shreveport, La. '04	A	Interest	J	T					
25. Shreveport, La. '10	C	Interest	K	T	Part called	9/2			
26. S.E. Tex. Hosp. '09	B	Interest	K	T	Part called	12/1	J		
27. CT G.O. '08 5.12	D	Interest	M	T					
28. CT Spl. Assmt. '07 5.1	A	Interest	K	T					
29. CT G.O. '10 5.2	B	Interest	K	T					
30. CT Health '04 6.2	A	Interest	K	T					
31. CT. Sp. Tax '05 5.12	C	Interest			Called	9/2	L		
32. CT G.O '03 5.0	B	Interest			Called	11/17	K		
33. CT G.O. '10 5.0	B	Interest	K	T					
34. CT G.O. '06 4.7	B	Interest	K	T					
35. CT Health '12 6.5	B	Interest	L	T					
36. Stamford G.O. '12 5.7	C	Interest	L	T					

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2. Value Codes: J = \$15,000 or less K = \$15,001-\$50,000 L = \$50,001-\$100,000 M = \$100,001-\$250,000
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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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
		(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
		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, merger, redemption)	(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
37.	Woodstock '10 5.25	B	Interest	K	T	Called	2/18	K		
38.	CT HFA '08 4.625	B	Interest	K	T					
39.	Conn. Health 5.25 '07	A	Interest	K	T					
40.	Conn. HFA 4.375 '08	A	Interest	K	T					
41.	Conn. G.O. 5.0 '09	A	Interest	L	T					
42.	Conn. 5.125 '11	A	Interest	L	T					
43.	Conn. G.O 5.0 '11	A	Interest	K	T					
44.	Conn. Spl. Tax 5.0 '12	B	Interest	L	T					
45.	Conn. Health 4.9 '13	A	Interest	K	T					
46.	Cheshire 5.0 '13	B	Interest	L	T					
	Conn. Refunding '06 5.0	B	Interest	L	T					
48.	Conn. Housing '07 3.4	A	Interest	K	T					
49.	Conn. Refunding '09 5.25	A	Interest	K	T					
50.	Stratford '10 3.0	A	Interest	K	T					
51.	New Haven '17 6.0	A	Interest	K	T					
52.	Conn. G.O. '10 5.375	A	Interest	K	T					
	Conn. Spl. Tax '05 5.0	B	Interest	K	T					
54.	Conn. Refunding '08 5.25	A	Interest	J	T					

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55. Norwalk '05 4.0	A	Interest	K	T					
56. E. Hampton '05 3.375	A	Interest	K	T	Buy	3/28	L		
57. E. Hampton '07 3.375	A	Interest	K	T	Buy	3/28	L		
58. CT G.O. '06 0		None	K	T	Buy	5/13	K		
59. CT Refunding '05 5.0	B	Interest	K	T	Buy	5/13	L		
60. CT 6.0 '08 4.875	B	Interest	K	T	Buy	5/16	K		
61. Univ. CT. '07 4.25	B	Interest	K	T	Buy	5/22	K		
62. New Haven '07 4.0	B	Interest	L	T	Buy	3/28	L		
63. STOCKS:									
64. Dupont	C	Dividend	M	T					
65. Exxon Mobil	C	Dividend	M	T					
66. J.G.E.	B	Dividend	M	T					
67. Norfolk Southern	A	Dividend	J	T					
68. Royal Dutch Petroleum	C	Dividend	M	T					
69. M & T Bank	A	Dividend	L	T					
70. Pfizer	B	Dividend	L	T					
71. Insteel		None	J	T					
72. Air Products	B	Dividend	M	T					

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73. Johnson Contr.	B	Dividend	M	T					
74. Merck	D	Dividend	N	T					
75. Alexander and Baldwin	A	Dividend	K	T					
76. Royce Trust	B	Dividend	L	T					
77. Bethlehem Steel		None	J	T					
78. Corning		None	K	T					
79. Cummings Engine	A	Dividend	K	T					
80. Minn. Mining	B	Dividend	L	T					
81. Johnson & Johnson	A	Dividend	L	T					
82. Enron		None	J	T					
83. Microsoft	A	Dividend	L	T					
84. Cisco		None	L	T					
85. Total Fina	B	Dividend	M	T					
86. Honeywell	A	Dividend	K	T					
87. Lucent		None	J	T					
88. Pitney Bowes	A	Dividend	K	T					
89. Ocean Energy	A	Dividend			Exch. Devon	4/29	J		
90. Devon Energy	A	Dividend	K	T	Exch. Ocean	4/29	J		

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				
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						(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
91. FNMA	A	Dividend	K	T					
92. Philips	A	Dividend	K	T					
93. Tyco	A	Dividend	K	T					
94. Nokia	A	Dividend	J	T					
95. Red Hat		None	J	T					
96. Pfizer	B	Dividend	K	T					
97. Medco		None	K	T	Spinoff	8/25	K		
98. OTHER:									
99. Trust held by Schwab & Co. (Pooled Funds & State Bonds)	D	Dividend	N	T					
100. Trust held by Schwab & Co. (pooled funds & state bonds)	E	Dividend	N	T					
101. 1/2 Int. W. Hfd., CT., Condo purchased 8/9/88 \$115,000		None	L	R					
102. Thames & Hudson Royalty Contract	C	Royalty	J	W					
103. Harold Newman Charitable Remainder Unitrust, consisting	E	Interest	O	T					
104. of Municipal Bonds:									
105. - Houma La. '10									
106. - Jefferson Par. La. '16									
107. - Prudential money mkt fund									
108. - Camden, N.J. '14									

1. Income/Unit 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
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109. - Pike Wash. '11									
110. - Salt River, Ariz. '16									
111. - Texas '11					Called	3/24	K		
112. - Tuscon, Ariz. '12					Called	7/1	K		
113. - West Lane, OR. '12									
114. - Univ. Cal. '10					Called	9/10	L		
115. - Port Seattle, WA '17									
116. - San Bernadino, CA '16									
117. - East Bay, CA '16									
118. - Foothills, CA '21					Called	9/2	K		
119. - Manatee, FL '21									
120. - Middlesex City, N.J. '19									
121. - Mass. Health 4.5 '14									
122. - Baton Rouge, LA '17 4.7					Buy	8/6	L		
123. Condo, University Park, FL purchased 4/9/99, \$179,000	C	Rent	M	R					
124. AIG Annuity (IRA)	B	Interest	K	T	IRA rollover	1/1	K		
125. AIG Annuity (IRA)	A	Interest	J	T	IRA rollover	1/1	J		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

Part VII, line 4: This IRA account was closed and rolled over to the item listed on line 124.

Part VII, line 5: This IRA account was closed and rolled over to the item listed on line 125.

Part VII, line 42: This bond was incorrectly identified in last year's report as "Conn. 6.0 5.125 '11." It is correctly listed now as "Conn. 5.125 '11."

Part VII, line 53: This bond was incorrectly identified in last year's report as "Conn. Refunding '05 5.0." It is now correctly identified as "Conn. Spl. Tax '05 5.0."

Part VII, lines 89 and 90: The Ocean Energy shares were exchanged for Devon Energy shares.

Part VII, line 97: The Medco shares were received as a spinoff from Merck (which is listed on line 74).

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

NEWMAN, Jon O

Date of Report

5/5/2004

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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

5/7/04

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