

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 05/14/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address 40 Foley Square Rm 1901 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 instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Council member	The American Law Institute
2. Trustee, Executor	members
3. Member - Photography Committee	Museum of Modern Art
4.	
5.	

RECEIVED
 2007 MAY 21 A 10:51
 FINANCIAL
 DISCLOSURE OFFICE

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. Jan. 2005	As executor, contract with Stribling & Co. for representation in sale of an apartment (contract does not reflect an exact date).
2. Feb 10, 05	As executor, contract with Christie's, Inc. for sale of works of art.
3. Aug. 2005	As executor, contract with J. Millstone for sale of apartment at New York, NY (contract does not show an exact date).
4.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Leval, Pierre N

Date of Report

05/14/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. 4/13/06	Hofstra University - teaching fee	\$ 2,000
2.		
3.		
4.		
5.		

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.	State St. Cultural Inst. Pension Plan - pension
2.	
3.	
4.	
5.	

IV. REIMBURSEMENTS — *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. Hofstra University	4-13-06 Payment of transportation. (est. \$300)
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Leval, Pierre N

Date of Report

05/14/2007

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

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. MONY	Loan on life insurance policy	L
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Leval, Pierre N

Date of Report

05/14/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(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) [REDACTED]	E	Dividend	P1	T					
2. Exxon Mobil (common)	D	Dividend	N	T					
3. Schering Plough (common) [REDACTED]	D	Dividend	O	T					
4. PE Biosystems (common)(Perkin Elmer)(PKI)	B	Dividend	M	T					
5. PE Celera Genomics (common) (CR)		None	K	T					
6. USX	A	Dividend	J	T					
7. Daimler Chrysler (common)	A	Dividend	J	T					
8. FMC Money Mkt [REDACTED] (Dreyfus)	C	Interest	L	T					
9. FMC Select Fund (common) [REDACTED]	F	Dividend	P1	T					
10. FMC Select Fund (self)					Sell part	1/10	L	C	
11. "					Sell part	1/10	K	C	
12. "					Sell part	1/17	J	A	
13. "					Sell part	1/24	J	A	
14. "					Sell part	1/30	J	A	
15. "					Sell part	2/28	J	A	
16. "					Buy	3/3	P1		
17. "					Buy	3/16	P1		

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 R = Cost (Real Estate Only) V = Other	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Leval, Pierre N

Date of Report

05/14/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. "					Sell part	3/28	J	A	
19. "					Buy	4/4	K		
20. "					Sell part	4/13	N	E	
21. "					Sell part	4/28	J	B	
22. "					Sell part	5/30	J	A	
23. "					Sell part	6/6	K	B	
24. "					Sell part	6/28	J	A	
25. "					Buy	7/5	K		
26. "					Sell part	7/28	J	A	
27. "					Sell part	8/28	J	A	
28. "					Sell part	9/6	K	D	
29. "					Sell part	9/28	J	A	
30. "					Buy	10/3	J		
31. "					Sell part	10/30	J	B	
32. "					Sell part	11/28	J	A	
33. "					Sell part	11/30	P1	G	
34. "					Buy	12/1	J		

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 R = Cost (Real Estate Only) V = Other	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Leval, Pierre N

Date of Report

05/14/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. "					Buy	12/15	L		
36. "					Sell part	12/26	K	A	
37. "					Buy	12/29	J		
38. FMC Select Fund [REDACTED]					Buy	4/4	J		
39. "					Buy	7/5	J		
40. "					Buy	10/3	J		
41. "					Sell Part	11/30	N	F	
42. "					Buy	12/15	J		
43. "					Buy	12/29	J		
44. Fed Hm Ln Bk Cons Disc Nts 0.0% due 2/28/07		None	P1	T	Buy	12/1	P1		
45. U.S. TBill 0.0% due 5/31/07		None	P1	T	Buy	12/1	P1		
46. "	B	Interest			Sell part	12/26	K		
47. Fed Hm Ln Bk Cons Disc Nts 0% 6/15/07 [REDACTED]		None	N	T	Buy	12/20	N		
48. Lincoln St. Realty (limited partnership)		None	J	W					
49. Hershey (common) [REDACTED]	B	Dividend	M	T					
50. Smith Barney Liquid Res Fund (common) [REDACTED]	B	Dividend	K	T					
51. Gen. American Inv. (common) (GAM) [REDACTED]	E	Dividend	N	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 R = Cost (Real Estate Only) V = Other	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Leval, Pierre N

Date of Report

05/14/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Chase Bank (account) [REDACTED]	A	Interest	J	T					
53. Bank of New York (account)			K	T					
54. Warburg Pincus Funds (common0	C	Dividend	L	T					
55. Art Works [REDACTED]		None	K	Q	See VIII				
56. "					Sell part	2/7	M		
57. "					Sell part	3/7	J		
58. "					Sell part	4/11	J		
59. "					Sell part	5/3	J		
60. "					Sell part	6/9	L		
61. "					sell part	6/14	J		
62. "					Sell part	9/13	J		
63. Bank of New York (account & money market fund) (estate)	F	Interest	P1	T					
64. Apartment in New York, NY (estate)		None			Sell	1/9	P2		
65. U.S. T-Bills 1/12/06 0.0% (trust)	E	Interest	P1	T	Sell	1/12	P1		
66. U.S. T-Bills 1/26/06 0.0% (trust)	D	Interest	O	T	Sell	1/12	O		
67. U.S. T-Bills 0.0% 7/28/05	B	Interest			Sell	7/28	O		
68. Cash			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 R = Cost (Real Estate Only) V = Other	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Leval, Pierre N

Date of Report

05/14/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. "					Sell	2/9	P1		
70. U.S. TBills 0.0% (trust) 3/2/06	C	Interest			Buy	1/26	O		
71. "					Sell	3/2	O		
72.									
73.									
74.									
75.									
76.									
77.									
78.									
79.									
80.									
81.									
82.									
83.									

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 R = Cost (Real Estate Only) V = Other	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value				
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Leval, Pierre N

Date of Report

05/14/2007

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

In Part VII, item no. 55, "Art Works," the date of the appraisal was Jan. 20, 2005.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Leval, Pierre N

Date of Report

05/14/2007

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.

Signed

Date

5-14-07

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)

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