

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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) Walker, John M.	2. Court or Organization United States Court of Appeals for the Second Circuit	3. Date of Report 5/11/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address US Court of Appeals : Second Circuit 157 Church Street New Haven, CT 06510	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. Director	Dwight D. Opperman Institute of Judicial Administration
2. Past President	Federal Judges Association
3. Director	U.S. Association of Constitutional Law
4. Director	Friends of CEELI
5. Director	American Society of International Law, Judicial Advisory Board
6. Director	Spencer Williams Foundation for Judicial Independence

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.	

Walker , John M.

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Walker, John M.

Date of Report

5/11/2011

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. Jan-April	Income as Lecturer, Yale Law School	\$26,250.00
2. Sep-Nov	Income as Lecturer, Yale Law School	\$26,250.00
3. Sep-Dec	Income as Lecturer, Yale Law School	\$47,500.00
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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Society of International Law	2/15/10 - 2/17/10	Washington, DC	Board Meeting	Transportation, meals, lodging
2. The CEELI Institute	7/18/10 - 7/23/10	Prague, Czech Republic	Judicial Integrity Roundtable	Transportation, meals, lodging
3. Wang Family Foundation	10-1-10 - 10-8-10	Beijing, China	Rule of Law seminar	Transportation, meals, lodging
4. National Committee on US-China Relations	12/5-10 - 12/9/10	Beijing, China	Educational seminar	Transportation, meals, lodging
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Walker, John M.

Date of Report

5/11/2011

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Walker, John M.

Date of Report

5/11/2011

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. AES Corp		None	L	T	Buy	05/26/10	K		
2. American Tower Corp		None	L	T					
3. AMN Healthcare Svcs		None			Buy	03/09/10	K		
4. Arctic Glacier Income Fund		None	J	T					
5. Athenahealth Inc com		None	L	T	Buy	05/28/10	K		
6. AT & T Inc com	A	Dividend	J	T					
7. Becton Dickinson & Co	A	Dividend	K	T	Buy	05/28/10	J		
8. Bed Bath & Beyond Inc		None	L	T	Buy	01/14/10	K		
9. Bed Bath & Beyond Inc					Sold (part)	11/18/10	J	A	
10. Berkshire Hathaway Inc CL B		None			Sold	05/25/10	K		
11. BHP Billiton Ltd Sponsored ADR	B	Dividend	L	T	Sold (part)	03/30/10	K	D	
12. Brookfield Asset Mngt Inc CL A	A	Dividend			Sold	05/25/10	J		
13. Carmax		None	K	T	Sold (part)	05/25/10	J	A	
14. Celgene Corp		None	K	T					
15. Chesapeake Energy	A	Dividend			Sold	03/24/10	K		
16. Chevron Corp	B	Dividend	L	T					
17. Cisco Syst Inc		None	K	T	Sold (part)	05/26/10	L	D	

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
H = \$1,000,001 - \$5,000,000

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

Page 5 of 10

Name of Person Reporting

Walker, John M.

Date of Report

5/11/2011

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. Clear Channel Outdoor		None	K	T	Sold (part)	05/25/10	J		
19. Clear Media Ltd		None	J	T					
20. Crown Holdings		None	K	T	Buy	05/25/10	K		
21. Discovery Communications - A		None			Sold	06/23/10	K	E	
22. Discovery Communications - C		None	K	T	Buy	06/23/10	K		
23. Emerson Electric	A	Dividend			Buy	01/08/10	L		
24. Emerson Electric					Sold	02/16/10	L	C	
25. Energy Transfer Partners LP	A	Dividend	J	T	Buy	05/27/10	J		
26. FPIC Insurance Group Inc		None	J	T					
27. General Electric Co	A	Dividend	J	T					
28. Gladstone Comm Corp	A	Dividend	K	T					
29. Infinera Corp		None			Buy	10/15/10	J		
30. Infinera Corp					Sold	10/26/10	J		
31. International Business Machines Corp	B	Dividend	M	T	Sold (part)	05/27/10	K	D	
32. Iridium Communications Inc		None			Buy	02/22/10	J		
33. Iridium Communications Inc					Sold	05/26/10	J	C	
34. K12 Inc Com		None	L	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 = 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

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Walker, John M.

Date of Report

5/11/2011

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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) 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. Kinder Morgan Energy Partners	A	Dividend	K	T	Buy	09/10/10	K		
36. Lamar Advertising Inc		Distribution	J	T					
37. Lowes Co Inc.	B	Dividend	L	T					
38. Markel Corporation		None	K	T	Buy	02/04/10	J		
39. Massey Energy Co	A	Dividend			Buy	05/03/10	K		
40. Massey Energy Co					Sold	08/11/10	J		
41. Micro Systems Inc		None	K	T	Buy	06/01/10	J		
42. Microsoft Corp	B	Dividend	L	T	Sold (part)	06/04/10	J		
43. Millicom International	B	Dividend	K	T					
44. Neogen Corp		None	K	T	Buy	09/13/10	J		
45. Newalta Income FD Trust Unit	A	Dividend	K	T					
46. Novartis AG Sponsored ADR		None	K	T	Buy	04/23/10	K		
47. Novartis AG Sponsored ADR					Sold (part)	06/04/10	J		
48. Odyssey Healthcare		None			Sold	01/08/10	L	F	
49. Oracle Corporation	A	Dividend	L	T	Sold (part)	05/25/10	K	E	
50. Penn National Gaming		None			Sold	02/05/10	J		
51. Pepisco Inc	B	Dividend	L	T	Sold (part)	11/18/10	K	C	

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2. Value Codes
(See Columns C1 and D3)

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N = \$250,001 - \$500,000
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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

3. Value Method Codes
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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Walker, John M.

Date of Report

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52. Philip Morris Intl Inc Com	A	Dividend	L	T	Buy	09/09/10	L		
53. Pioneer Natural	A	Dividend	K	T	Sold (part)	05/25/10	J	B	
54. Pool Corp	A	Dividend	K	T					
55. Pozen Inc		None	J	T	Sold (part)	05/27/10	J	A	
56. Prime Infrastructure Holdings	B	Dividend	K	T					
57. Proctor & Gamble	C	Int./Div.	L	T					
58. Six Flags Entmt Corp	A	Dividend	J	T	Buy	08/06/10	J		
59. Smucker JM & Co	B	Int./Div.	L	T	Sold (part)	11/18/10	J	B	
60. Solarwinds Inc Com		None	K	T	Buy	07/26/10	K		
61. SPDR Gold Tr Shs		None	L	T	Buy	03/08/10	K		
62. Strayer Ed Inc Com	A	Dividend	K	T	Buy	09/21/10	K		
63. Super Micro Computer Inc		None	K	T	Sold (part)	06/04/10	K	D	
64. Taiwan Semiconductor	B	Dividend	K	T					
65. Thermo Fischer Scientific Inc		None	K	T	Sold (part)	05/26/10	K		
66. United Technologies Corp	A	Dividend	K	T					
67. Universal Display Corp		None	K	T					
68. Urstadt Biddle PPT A	B	Dividend	K	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
(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
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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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Walker, John M.

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69. Varian Medical Systems		None	K	T	Sold (part)	05/25/10	L	E	
70. Wal Mart Stores Inc	B	Dividend	L	T					
71. Wells Fargo & Co New	A	Dividend	L	T					
72. Pershing Government Account	A	Interest	K	T					
73. Fidelity Cash	A	Interest	L	T					
74. Dreyfus Treasury Prime Inv Sh	A	Dividend	K	T					
75. American Express Bank FSB 3.150%	B	Interest	L	T					
76. Bank of America	A	Interest							
77. Citibank	A	Interest							
78. Peoples Bank	A	Interest							
79.									

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FINANCIAL DISCLOSURE REPORT
Page 9 of 10

Name of Person Reporting	Date of Report
Walker, John M.	5/11/2011

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Walker, John M.

Date of Report

5/11/2011

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/ John M. Walker

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)

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