

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) JACOBS, DENNIS	2. Court or Organization Court of Appeals, 2d Circuit	3. Date of Report 05/04/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 U. S. Courthouse 500 Pearl Street New York, N.Y. 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. _____	_____
2. _____	_____
3. _____	_____
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. _____	_____

RECEIVED
 2010 MAY 13 P 3:31
 FINANCIAL
 DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

JACOBS, DENNIS

Date of Report

05/04/2010

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.		
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.	
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. New York Intellectual Property Law Association	March 27 - 28, 2009	Waldorf Astoria Hotel, New York City	Recipient; Outstanding Public Service Award	Meals, lodging
2. Brooklyn Law School	April 4, 2009	Brooklyn, New York	Judge, Prince Moot Court Competition	Meals
3. Boston College Law School Federalist Society	April 18, 2009	Newton, Mass.	Recipient; William H. Rehnquist Memorial Award for Public Service	Travel, meals, lodging
4. ARIAS - US, Inc. (AIDA Arbitration Reinsurance & Arbitration Society)	May 5 - 9, 2009	Palm Beach, Florida	Speaker; ARIAS 2009 Spring Conference	Travel, meals, lodging
5. Cornell Law School & Cornell Law School	October 27 - October 29, 2009	Ithaca, New York	Distinguished Jurist-in-Residence	Travel, meals, lodging

FINANCIAL DISCLOSURE REPORT
Page 3 of 9

Name of Person Reporting

JACOBS, DENNIS

Date of Report

05/04/2010

Federalist Society

6. Northern District of New
York Federal Court Bar
Association

December 10 - 11,
2009

Albany, New York

Speaker, Annual NDNY
FCBA Annual Dinner

Travel, meals, lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

JACOBS, DENNIS

Date of Report

05/04/2010

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. New York Intellectual Property Law Association	Steuben glass sculpture "Star Stream" given as Outstanding Public Service Award	\$900.00
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 5 of 9

Name of Person Reporting
JACOBS, DENNIS

Date of Report
05/04/2010

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. Muni Bond: New York NY Ser D FGIC 11/18/97	C	Interest			Matured		08/01/09	K		
2. Muni Bond: Long Island Pwr Au Elec Sys Gen Rv-A 5/1/98	B	Interest			Matured		12/01/09	K		
3. Muni Bond: New York NY Ser H-FGIC-TCRS UNLTD TAX 3/29/01	A	Interest			Matured		03/15/09	K		
4. Muni Bond: New York ST DORM AUTH REVS SER-B-E.T.M. 7/1/90	B	Interest	K	T	Redeemed (part)		05/18/09	J		
5. Muni Bond: New York ST URB DEV CRP RV-B-CRCTL FACS 11/1/98	B	Interest			Redeemed		01/01/09	L		
6. Muni Bond: LI NY Pwr Au Elec Sys Gen Rv DTD 5/1/98	D	Interest	M	T						
7. Muni Bond: Greenwich NY Cent Sch Dist Rldg DTD 6/24/02	C	Interest	L	T						
8. Muni Bond: NY St Twy Auth Hwy & Brdg Rldg Ser C 7/1/02	C	Interest	L	T						
9. Muni Bond: NY St TWY Auth Hwy & Brdg Rldg Ser C DTD 7/1/02	C	Interest	L	T						
10. Muni Bond: NY St Twy Auth Hwy & Brdg Rldg Ser B DTD 7/1/00	D	Interest	L	T						
11. Muni Bond: NYS Twy Auth Svc Cont Rev Rldg DTD 8/7/02	C	Interest	L	T						
12. Muni Bond: NY St UDC Corr & Youth Facs Svc Contract 11/26/02	B	Interest	K	T						
13. Muni Bond: NYS Dorn Au Rev Upstate CNMTY 3/3/05	B	Interest	K	T						
14. Muni Bond: NYC G O Ser E Ref FSA 11/10/04	B	Interest	K	T						
15. Muni Bond: NYNY Ser I MBIA IBC 6/10/97	A	Interest			Redeemed		12/01/09	J		
16. Muni Bond: NYNY Ser H-FGIC 3/29/01	D	Interest	L	T						
17. Muni Bond: NYNY Rldg-Ser G-6/3/02	C	Interest	L	T						

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

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

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

Q = Appraisal
U = Book Value

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting
JACOBS, DENNIS

Date of Report
05/04/2010

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)
18. Muni Bond: NYSt. Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	K	T					
19. Muni Bond: NYSt. Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	K	T					
20. Muni Bond: NYC G/O Ser.O 6/2/05	B	Interest	K	T					
21. Muni Bond: NYC G/O Ser C 8/3/05	B	Interest	K	T					
22. Muni Bond: NYSt. Thruway Gen Rev Ser H 10/11 07	B	Interest	K	T					
23. Muni Bond: NYS UDC ST Pers Income Tax 10/9/03	C	Interest	M	T					
24. Money Market: Western Asset NY Muni Money Market	A	Int. Div.	N	T					
25. Checking: Chase Manhattan Bank, NYC	A	Interest	J	T					
26. Fidelity Rollover IRA	F	Int. Div.	PI	T					
27. - Fidelity Cash Reserves									
28. - Baron Growth Fund									
29. - Dodge & Cox Stock Fund					Sold	03 10 09	L	D	
30. - Royce Total Return Fund									
31. - American Growth Fund of America									
32. - Dreyfus Mid-Cap Fund									
33. - Bond: Fedl Home Loan Bank Bonds									
34. - Bond: Fedl Farm Cr Bks Cons Bd									

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
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

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

JACOBS, DENNIS

Date of Report

05/04/2010

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)
35. - Bond: Fedl Farm Credit Banks Funding Corp									
36. - Bond: Fedl Home Ln Bk 5/13/11									
37. - Bond: Fedl Farm CR Bks FDG 12/20/10									
38. - Bond: Fedl Home Ln Bk 11/15/11									
39. - Bond: Fedl Home Ln Bk 11/15/11									
40. - Bond: Fedl Home Ln Bks Gbl 9/16/13									
41. - Bond: Fedl Home Ln Bks 02/13/05									
42. - Fidelity Contrafund									
43. - Tweedy Browne Global Value Fund									
44. - iShares/Box Corp. Bond Fund					Sold	03/12/09	M	C	
45. - Loomis Sayles Invst Grade Bond CL Y					Sold	03/10/09	M	D	
46. - Eaton Vance Large Cap Value Fund CL I									
47. - Bond: Fedl Farm Credit Bk 2/19/16									
48. - Bond: Fedl Farm Credit Bks Const 6-4/18									
49. - Fidelity US Government Reserves					Buy	02/20/09	()		
50. TIAA-CREF		None	L	T					
51. - CREF Stock Account									

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

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 8 of 9

Name of Person Reporting JACOBS, DENNIS	Date of Report 05/04/2010
---	-------------------------------------

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

Part VII Investments & Trusts:

Line 26 Fidelity Rollover IRA: Please note that the Fidelity Spartan Index Fund was completely sold on October 9, 2008. It was erroneously listed as "part sold" at line 34 in the 2008 Financial Disclosure Report. For that reason it does not appear in the 2009 Financial Disclosure Report.

FINANCIAL DISCLOSURE REPORT
Page 9 of 9

Name of Person Reporting
JACOBS, DENNIS

Date of Report
05/04/2010

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