

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) JACOBS, DENNIS	2. Court or Organization Court of Appeals, 2d Circuit	3. Date of Report 05/02/2011
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 01/01/2010 to 12/31/2010
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

Jacobs, Dennis

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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. 08/10	Poetry Foundation, article fee (see part VIII for additional information)	\$500.00
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.	
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. US Dept. of State	Feb. 5 - 12, 2010	Bangkok, Thailand	Inter-judiciary conference	Travel, meals, lodging
2. Harvard University Law School Federalist Society	April 23, 2010	Cambridge, MA	Delivered lecture: "Pro Bono and the Public Good"	Travel, lunch
3. The Federalist Society	November 18 - 20, 2010	Washington, DC	Delivered the 10th Annual Barbara K. Olson Memorial Lecture	Travel, meals, lodging
4. Yale University School of Law	December 6, 2010	New Haven, CT	Panelist: Morris Tyler Moot Court Competition	Travel, meals, lodging
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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 ST DORM AUTH REVS SER-B-E.T.M. 7/1/90	A	Interest			Redeemed	05/15/10	K		
2.	Muni Bond: LI NY Pwr Au Elec Sys Gen Rv DTD 5/1/98	D	Interest	M	T					
3.	Muni Bond: Greenwich NY Cent Sch Dist Rfdg DTD 6/24/02	C	Interest	L	T					
4.	Muni Bond: NY St Twy Auth Hwy & Brdg Rfdg Ser C 7/1/02	C	Interest	L	T					
5.	Muni Bond: NY St TWY Auth Hwy & Brdg Rfdg Ser C DTD 7/1/02	C	Interest	L	T					
6.	Muni Bond: NY St Twy Auth Hwy & Brdg Rfdg Ser B DTD 7/1/00	C	Interest			Redeemed	04/01/10	L		
7.	Muni Bond: NYS Twy Auth Svc Cont Rev Rfdg DTD 8/7/02	C	Interest	L	T					
8.	Muni Bond: NY St UDC Corr & Youth Facs Svc Contract 11/26/02	B	Interest	K	T					
9.	Muni Bond: NYS Dorm Au Rev Upstate CNMTY 3/3/05	B	Interest	K	T					
10.	Muni Bond: NYC G/O Ser E Ref FSA 11/10/04	B	Interest	K	T					
11.	Muni Bond: NYNY Ser H-FGIC 3/29/01	D	Interest	L	T					
12.	Muni Bond: NYNY Rfdg-SerG-6/3/02	C	Interest	L	T					
13.	Muni Bond: NYSt.Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	K	T					
14.	Muni Bond: NYSt. Thruway Auth. 2nd Highway & Bridge 9/8/05	B	Interest	L	T					
15.	Muni Bond: NYC G/O Ser.O 6/2/05	B	Interest	K	T					
16.	Muni Bond: NYC G/O Ser C 8/3/05	B	Interest	L	T					
17.	Muni Bond: NYSt, Thruway Gen Rev Ser H 10/11/07	B	Interest	K	T					

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 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = 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 \$5,000,000	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	

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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)
18. Muni Bond: NYS UDC ST Pers Income Tax 10/9/03	C	Interest	L	T					
19. Muni Bond: Metro Govt. Nashville & Davidson Co. Elec. 3/1/01	A	Interest	K	T	Buy	09/17/10	K		
20. Muni Bond: Tampa FL Sales Tax Rev Rfdg 10/6/10		None	K	T	Buy	09/23/10	K		
21. Muni Bond: Arizona Transp. Bd. Excise Tax Ser A 11/1/07		None	K	T	Buy	09/23/10	K		
22. Muni Bond: Metro Govt. Nashville & Davidson Co. Rfdg./Ser D	A	Interest	K	T	Buy	09/22/10	K		
23. Muni Bond: King Co. Wash Sch Dist. No 412 10/21/10		None	K	T	Buy	10/06/10	K		
24. Muni Bond: Baton Rouge LA Pub Impt. Sales Tax Ser B 9/28/10		None	K	T	Buy	09/14/10	K		
25. Muni Bond: Fort Bend Tex Flood Ctrl Water Supply 10/1/10	A	Interest	K	T	Buy	09/15/10	K		
26. Muni Bond: Ohio St. Rfdg Common Schs. Ser C 10/8/10	A	Interest	K	T	Buy	10/12/10	K		
27. Muni Bond: N. Carolina ST. Grant Antic Rev Vehicle 8/5/09	A	Interest	K	T	Buy	10/21/10	K		
28. Muni Bond: UConn. Ser A 5/25/10	A	Interest	K	T	Buy	10/18/10	K		
29. Muni Bond: Ohio St. Univ. Gen Rcpts Rfdg Ser D 10/6/10		None	K	T	Buy	09/15/10	K		
30. Money Market: Western Asset Govt. Money Fund, Class A	A	Int./Div.	M	T					
31. Checking: Chase Manhattan Bank, NYC	A	Interest	J	T					
32. Fidelity Rollover IRA	F	Int./Div.	P1	T					
33. - Fidelity Cash Reserves									
34. - Baron Growth Fund					Sold (part)	07/21/10	K		

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
3. Value Method Codes Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash Market
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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)	(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. - Royce Total Return Fund					Sold (part)	07/21/10	K		
36. - American Growth Fund of America					Sold (part)	07/21/10	K		
37. - Dreyfus Mid-Cap Fund					Sold (part)	07/21/10	K		
38. - Bond: Fedl Home Loan Bank Bonds									
39. - Bond: Fedl Farm Cr Bks Cons Bd									
40. - Bond: Fedl Farm Credit Banks Funding Corp					Redeemed	11/22/10	K		
41. - Bond: Fedl Home Ln Bk 5/13/11									
42. - Bond: Fedl Farm CR Bks FDG 12/20/10					Redeemed	12/20/10	L		
43. - Bond: Fedl Home Ln Bk 11/15/11									
44. - Bond: Fedl Home Ln Bk 11/15/11									
45. - Bond: Fedl Home Ln Bks Gbl 9/16/13									
46. - Bond: Fedl Home Ln Bks 02/13/15									
47. - Fidelity Contrafund					Sold (part)	07/21/10	K		
48. - Tweedy Browne Global Value Fund					Sold (part)	07/21/10	K		
49. - Eaton Vance Large Cap Value Fund CL 1									
50. - Bond: Fedl Farm Credit Bk 2/19/16									
51. - Bond: Fedl Farm Credit Bks Const 6/4/18									

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
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

3. Value Method Codes
(See Column C2)

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	(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)
52. - Fidelity US Government Reserves					Sold	01/22/10	O		
53. - Blackrock Global Allocation					Buy	01/22/10	M		
54. - Pimco Total Return Instl					Buy	01/22/10	N		
55. - Ivy Asset Strategy Fund CL I					Buy	01/22/10	M		
56. - Morgan Stanley Global Long/Short Fund A					Buy	07/28/10	M		
57. - Templeton Global Bond Advisor Class					Buy	11/22/10	M		
58. TIAA-CREF		None	L	T					
59. - CREF Stock Account									

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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.)*

Part III-A: Non-Investment Income:

Line 1: The fee received from the Poetry Foundation was sent by them to a charitable organization. A letter will be sent to the Committee on Financial Disclosure with the name and address of the organization.

Part VII Investments & Trusts:

Line 30: Formerly Western Asset NY Money Market (name change only)

Line 46: Fidelity Rollover IRA: Please note that the correct date on this bond is: 02/13/15, not 02/13/05 as listed at line 41 in the 2009 Financial Disclosure 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: s/ DENNIS JACOBS

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