

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Leyden, Diana L.	2. Court or Organization U.S. Tax Court	3. Date of Report 12/4/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Special Trial Judge- Full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 09/08/2016
7. Chambers or Office Address United States Tax Court 400 2nd Street, NW Room 108 Washington, DC 20217		
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.		

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.	Employee	New York City Department of Finance
2.	Employee	University of Connecticut School of Law
3.	Director	Glastonbury Chorus, Inc.
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.		

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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. 2014-2015	University of Connecticut School of Law, Salary	\$245,686.55
2. 2015-2016	New York City of New York Department of Finance, Salary	\$143,645.86
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. 2014-2016	self-employed attorney
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. Exempt				
2.				
3.				
4.				
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Exempt		
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.			

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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) 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. Massachusetts Deferred Comp Plan (H)									
2. Massachusetts Deferred Comp Plan International Equity Fund		None	K	T	Exempt				
3. Massachusetts Deferred Comp Plan Small Company Stock Fund		None	K	T	Exempt				
4. Massachusetts Deferred Comp Plan Real Estate REIT Fund		None	J	T	Exempt				
5. Massachusetts Deferred Comp. Plan Large Company Growth		None	K	T	Exempt				
6. SMART Capital Preservation Fund		None	J	T	Exempt				
7. Massachusetts Deferred Comp Plan SMART Plan 2025		None	K	T	Exempt				
8. Eaton Vance IRA	B	Dividend			Distributed	03/28/16	J	D	
9. EquiVest Tax Sheltered Annuity (H)		None							
10. AXA Lg Cap Val Managed Vol	B	Int./Div.	K	T	Exempt				
11. VOYA State of CT Defined Contribution Plan 401A (H)									
12. Connecticut Stable Fund ARP	C	Int./Div.	M	T	Exempt				
13. Vanguard InlPrt Securities Fd Inst	A	Int./Div.	J	T	Exempt				
14. Vanguard Trgt Retire 2025 Fnd Inv	A	Int./Div.	J	T	Exempt				
15. Fidelity VIP Contrafund Port 1	A	Int./Div.	J	T	Exempt				
16. Vanguard REIT Index Fund Inst.	A	Int./Div.	J	T	Exempt				
17. TIAA-CREF Intl Equity Index Fd	A	Int./Div.	J	T	Exempt				

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 –\$250,000.001 - \$500,000.000	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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	(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. VOYA State of CT Defined Contribution 403B (h)									
19. Connecticut Stable Value Fund	A	Int./Div.	M	T	Exempt				
20. PIMCO Total Return Fd Inst	A	Int./Div.	J	T	Exempt				
21. Vanguard Infl. Prt Securities Fd Inst	A	Int./Div.	J	T	Exempt				
22. TIAA-CREF Equity Index Fund Inst	A	Int./Div.	J	T	Exempt				
23. TIAA-CREF Social Choice Eqty Fd Inst	A	Int./Div.	J	T	Exempt				
24. TIAA-CREF Sm Cp Blend Index Fd Inst	A	Int./Div.	J	T	Exempt				
25. Fidelity VIP Mid Cap Portfolio I	A	Int./Div.	J	T	Exempt				
26. TIAA-Cref Instl Equity Index Fd Inst	A	Int./Div.	J	T	Exempt				
27. State of Connecticut 403(b) (H)									
28. Conn. Stable Value Fund	A	Dividend	M	T					
29. PIMCO Total Inst. Ret. Fund	A	Dividend	J	T					
30. Vanguard Inflation Protection	A	Dividend	J	T					
31. TIAA-CREF Instl Equity In	A	Dividend	J	T					
32. TIAACREF Instl SocChe Eq Instl	A	Dividend	J	T					
33. Fidelity VIP Mid Cap Portfolio	A	Dividend	J	T					
34. TIAA-CREF Instl SCB Idx Inst	A	Dividend	J	T					

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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	

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35. TIAA-CREF Instl Internatl	A	Dividend	J	T					
36. State of Connecticut Alternate Retirement Plan (H)									
37. ARP Hybrid Transition fund	A	Dividend	N	T					
38. Connecticut Stable Value Fund	A	Int./Div.	J	T	Exempt				
39. Vanguard Inflation-Protec	A	Dividend							
40. Vanguard Target Ret 2025	A	Dividend							
41. Fidelity VIP Contrafund Portf	A	Dividend							
42. TIAA-CREF Instl Internatl	A	Dividend							
43. Vanguard REIT Index Instl	A	Dividend							
44. National Life Insurance Company Whole Life Policy	E	Dividend	K	T	Exempt				
45. TIAA State of CT Alternative Retirement Plan (H)									
46. TIAA Guaranteed	B	Int./Div.	K	T	Exempt				
47. CREF Stock R3	B	Int./Div.	K	T	Exempt				
48. CREF Growth R3	B	Int./Div.	K	T	Exempt				
49. CREF GlobalEquities R3	B	Int./Div.	J	T	Exempt				
50. TIAA Real Estate	B	Int./Div.	J	T	Exempt				
51. CREF In Linked Bond R3	B	Int./Div.	J	T	Exempt				

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52. CREF Money Market R3	B	Int./Div.	J	T	Exempt				
53. CREF Social Choice R3	B	Int./Div.	K	T	Exempt				
54. Bnk of America- Checking account	A	Interest	K	T	Exempt				
55. Bank of America CD	A	Interest	M	T	Exempt				
56. Bank of America Savings Account	A	Interest	K	T	Exempt				
57. Allianz Annuity-Fixed annuity		None	M	T	Exempt				
58. Fidelity IRA- Fidelity Magellan	B	Int./Div.	J	T	Exempt				
59. VOYA SEP (H)					Exempt				
60. Voya Long term GAA		None	K	T	Exempt				
61. Voya Balanced Portfolio I		None	K	T	Exempt				
62. Voya Large Cap Value Port Inst		None	K	T	Exempt				
63. VOYA 401K (H)		None		T	Exempt				
64. Voya Large Growth Portfolio		None	M	T	Exempt				
65. VY JP Morgan Mid-Cap		None	K	T	Exempt				
66. VY Oppenheimer Global		None	K	T	Exempt				
67. Webster Bank Checking account	A	Interest	J	T	Exempt				
68.									

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69.									
70.									
71.									

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

1. Lines 1-7 Regarding the Massachusetts Deferred Compensation Smart Plan, neither the statements nor the on line account information show investments. I have contacted the plan administrator and told they only report the change in value not any income.
2. Lines 11-17 and 18-26; 27-25 and 36-43-Regarding the VOYA Connecticut Defined Contribution Plans- 401A and 403(b), this plan was transferred to Prudential Retirements by the State of Connecticut on July 1, 2015. I have listed the earnings and valuation of the plans ad held by VOYA as of June 30, 2016(lines 11-17 and 18-26) and have shown the earning and valuation of the Prudential Retirement from July 1, 2015 through 9/8/16 the end of the reporting period (lines 27-35 and 36-43).
3. Line 8 Eaton Vance IRA- this was cashed out and the earnings reported are as of 1/1/2015 through the date just before the investment was liquidated. The gain is listed in the transaction column for this investment.
4. Line 57 Allianz Fixed annuity- the plan administrator informed us that there is not any income in the form of interest or dividends, just a change in value.
5. Lines 59-62 VOYA 401(k) and 63-66 VOYA SEP. My husband contacted the plan administrator and was told the investments are in indexed funds and as such, there is not reported income in the form of interest or dividends, but rather changes in total value.
- 5.

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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/ **Diana L. Leyden**

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)

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