

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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) Cabranes, Jose A	2. Court or Organization U.S. Court of Appeals - 2d Cir	3. Date of Report 6/30/2008
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2007 to 12/31/2007
7. Chambers or Office Address U.S. Courthouse 141 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. See "Attachment A" hereto

2.

3.

4.

5.

RECEIVED
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 FINANCIAL
 DISCLOSURE OFFICE

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

2.

3.

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. See "Attachment A" hereto	
2.	
3.	
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II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
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FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Cabranes, Jose A

Date of Report

6/30/2008

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. 2007	University of Chicago Press (Royalties)
2. 2007	Thomson-West (Royalties)
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. See "Attachment B" hereo				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Cabranes, Jose A

Date of Report

6/30/2008

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 8

Name of Person Reporting

Cabranes, Jose A

Date of Report

6/30/2008

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Fidelity Asset Manager	C	Dividend	L	T					
2. CT Higher Education Trust		None	L	T					
3. CT Higher Education Trust		None	K	T					
4. Citizens Bank accounts	A	Interest	J	T					
5. HSBC Savings Account	A	Interest	J	T					Closed 5/6/08
6. People's Bank accounts	A	Interest			Closed	7/27	K	A	Closed 7/27/07
7. Vanguard Money Market Account	D	Interest	N	T					
8. Vanguard REIT Index Fund	A	Dividend	J	T	Buy	1/25	J		
9. Vanguard Totatl STK MKTETF	A	Dividend	L	T	Buy	1/30	K		
10. Vanguard Value Index Fund	A	Dividend	J	T	Buy	1/08	J		
11. AGE Edwards (AG) Inc.	A	Dividend			Sell	1/29	J		
12. BMY Bristol-Myers Squibb Co.	A	Dividend			Sell	1/29	J		
13. BP Amoco PLC (Britain)	A	Dividend			Sell	1/29	J		
14. C Citigroup	A	Dividend			Sell	1/29	J		
15. CBSH Commerce Bancshares, Inc.	A	Dividend			Sell	1/29	J		
16. COP ConocoPhillips	A	Dividend			Sell	1/29	J		
17. DOW Dow Chemical	A	Dividend			Sell	1/29	J		

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 5 of 8

Name of Person Reporting

Cabranes, Jose A

Date of Report

6/30/2008

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. EIX Edison Int'l	A	Dividend			Sell	9/19	J		
19. EMR Emerson Electric Co.	A	Dividend			Sell	10/11	J		
20. EXC Exelon Corp.	A	Dividend			Sell	10/26	L		
21. Evergreen Serv. Co.	A	Dividend	J	T					
22. F Ford Motor Co.	A	Dividend			Sell	1/29	J		
23. Macy's, f/k/a Federated Department Stores, f/k/a May Depart.	A	Dividend	J	T					
24. Macy's, f/k/a Federated Department Stores, f/k/a May Depart	A	Dividend	J	T					
25. GD General Dynamics Corp.	A	Dividend			Sell	1/29	J		
26. GE General Electric Co.	A	Dividend			Sell	1/29	K		
27. GM General Motors Corp.	A	Dividend			Sell	1/29	J		
28. KO Coca Cola Co.	A	Dividend			Sell	1/29	J		
29. PFE Pfizer Inc.	A	Dividend			Sell	7/12	J		
30. PG Procter & Gamble Co.	A	Dividend			Sell	1/29	K		
31. RDS/A Royal D. Shell PLC	A	Dividend			Sell	1/29	J		
32. SIAL Sigma Aldrich Corp.	A	Dividend			Sell	8/14	J		
33. USB US Bancorp Del	A	Dividend			Sell	1/29	J		
34. WAG Walgreen Company	A	Dividend			Sell	1/29	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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Cabranaes, Jose A

Date of Report

6/30/2008

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				
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35. WYE Wyeth	A	Dividend	J	T					
36. TIAA-CREF Annuity (vested)	D	Dividend	J	T					
37. TIAA-CREF Pension		None	P1	T					
38. TIAA-CREF IRA		None	K	T					
39. Hartford Life & Annuity Ins. Co. (variable life ins. policy)		None	K	T					
40. See "Attachment C" hereto									

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Cabranes, Jose A

Date of Report

6/30/2008

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

See "Attachment C"

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Cabranes, Jose A

Date of Report

6/30/2008

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

José A. Cabranes
U.S. Circuit Judge (Second Circuit)
May 13, 2008; Revised June 30, 2008

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

ATTACHMENT A

I. Positions

Trustee of Columbia University, New York, NY

Trustee of the William Nelson Cromwell Foundation, New York, NY

Member of the Academic Advisory Committee of the Institute for Constitutional Studies, The
George Washington University, Washington, DC

Note: No income of any kind was derived from any of the "positions" or services or activities noted in this Attachment A.

José A. Cabranes
U.S. Circuit Judge (Second Circuit)
May 13, 2008; Revised June 30, 2008

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

ATTACHMENT B

IV. Reimbursements - transportation, lodging, food, entertainment:

<u>Source</u>	<u>Description</u>
1. Columbia University New York, NY	Meals, and the cost of transportation and (where indicated) lodging, to and from New York in connection with my duties as a Columbia trustee at each of the following meetings of the Board of Trustees or its committees in New York: March 2-3, 2007 (lodging also) June 1-2, 2007 October 5-6, 2007
2. George Washington University Law School Washington, D.C.	Meals, the cost of transportation to/from Washington, D.C. and to/from lodging, in connection with judging a moot court competition. January 31-February 1, 2007
3. Fordham Law School New York, NY	One meal and cost of transportation to/from New York City to deliver the Levine Lecture. March 22, 2007
4. Puerto Rican Bar Association New York, NY	One meal at the Puerto Rican Bar Association's annual dinner. May 22, 2007
5. The Chronicle of Higher Education Washington, D.C.	Meals, the cost of transportation to/from Washington, D.C. and ground transportation to/from airport, to speak at a special forum of The Chronicle of Higher Education June 11, 2007
6. William Nelson Cromwell Foundation New York, NY	One meal at annual meeting of William Nelson Cromwell Foundation held in New York, NY. November 7, 2006

José A. Cabranes
U.S. Circuit Judge (Second Circuit)
May 13, 2008; Revised June 30, 2008

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

ATTACHMENT C

VIII. Additional information or explanations. (Indicate part of Report).

VII, 11-20, 22, 25-34: Assets transferred from and by the estate of filer' [REDACTED] in 2006 were sold in 2007.

VII, 37: [REDACTED] university pension plan since 1984.

VII, 39: [REDACTED] cash value life insurance policy, which is part insurance and part investment, was obtained in 1998 and has been in effect since then. Initially it had no reportable "investment value." Value indicated refers to investment value of the policy as of December 31, 2007.