

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Cabranes, Jose A	2. Court or Organization U.S. Court of Appeals - 2d Cir	3. Date of Report 5/7/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Active)	5. Report Type (check appropriate type) ☐ Nomination Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
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.

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

☒ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Cabranes, Jose A

Date of Report

5/7/2004

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>GROSS INCOME</u> (yours, not spouse's)
1.	2003	Case-Western Reserve University Law School (approved teaching)	\$5000.00

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please 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.	2003	Yale University
2.	2003	Regents of the University of Colorado (honorarium). \$1,000.00
3.		

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	See "Attachment B" hereto	

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Name of Person Reporting

Cabranes, Jose A

Date of Report

5/7/2004

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ **NONE** - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ **NONE** - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1.

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Name of Person Reporting

Calvaries, Jose A

Date of Report

5/7/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	If not exempt from disclosure			
	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, merger, 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)
☐ NONE (No reportable income, assets, or transactions)									
1. Apartment, Santurce, Puerto Rico		Rent	K	W					
2. Apartment, Santurce, Puerto Rico		None	K	W					
3. Apartment, Santurce, Puerto Rico		None	K	W					
4. Apartment, Santurce, Puerto Rico		None	K	W					
5. Fidelity Asset Manager	D	Dividend	L	T					
6. Fidelity Blue Chip Growth Fund (IRA)		Dividend	M	T					
7. Fidelity Blue Chip Growth Fund (IRA)		Dividend		T	Sell -closed	3/03	K	0	Transfer to US Gov't Thrift
8. Missouri Zero Coupon College Savings Bond	A	Interest	J	T					
9. CT Higher Education Trust		Dividend	J	T					
10. CT Higher Education Trust		Dividend	K	T					
11. New Haven Savings Bank Account	A	Interest	J	T					
12. Citizens Bank Checking Account	A	Interest	K	T					
13. Citizens Bank Checking Account	A	Interest	J	T					
14. Citizens Bank Checking Account	A	Interest	J	T					
15. Citizens Bank Checking Account	A	Interest	J	T					
16. Citizens Bank Money Market Account	A	Dividend	K	T					
17. May Department Stores Co.	A	Dividend	K	T					
18. May Department Stores Co.	A	Dividend	K	T					

1. Income/Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H = \$1,000,001-\$5,000,000	I = \$5,000,001-\$25,000,000	J = More than \$25,000,000
2. Value Codes:	J = \$15,000 or less (See Columns C1 and D5)	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	N = \$250,001-\$500,000
	O = \$500,001-\$1,000,000	P = \$1,000,001-\$5,000,000	Q = \$5,000,001-\$25,000,000	R = \$25,000,001-\$50,000,000	S = \$50,000,001-\$100,000,000
3. Value Method Codes:	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	U = Other
	V = Book Value	W = Estimated			

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Name of Person Reporting
Cabrane, Jose A

Date of Report
5/7/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	If not exempt from disclosure			
	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, merger, 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)
19. TIAA-CREF Annuity	C	Annuity	J	T					
20. See "Attachment C" hereto									

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-\$30,000	L = \$30,001-\$100,000	M = \$100,001-\$250,000	
(See Columns C1 and D3)	N = \$250,000-\$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

Name of Person Reporting

Cabranes, Jose A

Date of Report

5/7/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

Please note that the items appearing in VII. 9 and 10 of this report, were inadvertently omitted from my 2001 and 2002 Financial Disclosure Reports.

Please note that the reference on Attachment A.I (Positions) to membership on the Advisory Board of El Museo del Barrio, New York, NY, was inadvertently omitted from my 2000, 2001 and 2002 Financial Disclosure Reports.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Cabranes, Jose A

Date of Report

5/7/2004

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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

5/7/04

NOTE: ANYONE 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)

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 7, 2004

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2003

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, Washington, DC

Member of the Advisory Board of El Museo del Barrio, New York, NY (a museum dedicated to Hispanic art and culture). (Resigned April 28, 2003)

Attorney-in-fact for [REDACTED] under a "Durable General Power of Attorney" executed May 16, 1988 and "protocolized" under the laws of the Commonwealth of Puerto Rico.

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 7, 2004

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2003

ATTACHMENT B

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

<u>Source</u>	<u>Description</u>
1. Columbia University	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: February 3, 2003 February 28-March 1, 2003 (lodging also) May 21, 2003 May 22, 2003 July 15, 2003 October 3, 2003 October 4, 2003 November 3, 2003
2. Univ. of Notre Dame School of Law	Meals and the cost of transportation and lodging, to and from University of Notre Dame School of Law, in connection with judging a Moot Court Competition. February 19-21, 2003
3. Case Western Reserve University Law School	Meals and the cost of transportation, to and from Case Western Reserve University, in connection with delivery of the annual Canary Lecture (approved teaching). April 7-9, 2003

José A. Cabranes
U.S. Circuit Judge (Second Circuit)
May 7, 2004

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2003

ATTACHMENT B

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

Source

Description

- | | |
|--|--|
| 4. George Mason University
Law & Economics Center | Meals received during attendance at lectures on Thucycides
held in New Haven, CT. |
|--|--|

June 26-29, 2003.

José A. Cabranes
U.S. Circuit Judge (Second Circuit)
May 7, 2004

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2003

ATTACHMENT C

VIII. Additional information or explanations. [Indicate part of Report].

- VII, 1, 2, 3, 4, 6, 7, 9, 10: Absent the ability to write "none" or "zero" on this computer form, no entry appears under B(1) for each of these entries, signifying that no "income" was obtained for these assets.
- VII, 1: No net income derived from apartment.
- VII, 2, 3, 4: I own what Puerto Rico law characterizes as an "undivided interest" of 25% of the title and the value of each of three apartments in Puerto Rico as a result of a testamentary disposition. I have no beneficial interest in any rental arrangements for the two studio apartments (VII, 3, 4) and I derive no income from them. No income is derived by me or anyone else from the two-bedroom apartment (VII, 2).
- VII, 7: One Fidelity Blue Chip Growth Fund account was closed in March 2003 and all sums therein were transferred to my U.S. Government Thrift Savings Plan account.