

UNITED STATES COURT OF APPEALS
SECOND CIRCUIT

SELF INITIATED
AMENDMENT

CHAMBERS OF
ROGER J. MINER
CIRCUIT JUDGE
UNITED STATES COURTHOUSE
445 BROADWAY, SUITE 414
ALBANY, NY 12207

May 31, 2007

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

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FINANCIAL
DISCLOSURE OFFICE

Dear Judges:

This letter is to be considered an Amendment to my Financial Disclosure Report for Calendar Year 2006.

Item IIIA pertaining to Non-Investment Income should be amended to disclose that as of December 31, 2006 I received retirement income of \$16,728.48 from the New York State Employees' Retirement System - Pension.

I have reported income from this source on my Financial Disclosure Report for many years and regret that it was inadvertently omitted from the Report for 2006 which I filed on April 30, 2007

Yours very truly,



Roger J. Miner

RJM/sjh

UNITED STATES COURT OF APPEALS
SECOND CIRCUIT

SELF INITIATED
AMENDMENT

CHAMBERS OF
ROGER J. MINER
CIRCUIT JUDGE
UNITED STATES COURTHOUSE
445 BROADWAY, SUITE 414
ALBANY, NY 12207

May 3, 2007

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

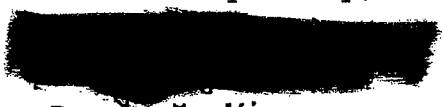
Attention: Mr. Chandler Patterson

Dear Mr. Patterson:

In response to your e-mail of today's date, this is to advise that the correct date of the Report should be the date that I signed the Report, namely April 30, 2007.

I trust that this is an adequate response to your inquiry.

Yours very truly,


Roger J. Miner

RJM/sjh

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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) Miner, Roger J	2. Court or Organization U.S. Court of Appeals	3. Date of Report 05/15/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address United States Courthouse 445 Broadway, Room 414 Albany, NY 12207	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 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 instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	_____
2. _____	_____
3. _____	_____

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Miner, Roger J

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05/15/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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.		
5.		

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.	
5.	

IV. REIMBURSEMENTS — *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. New York State Bar Association	Transportation -- 144.70
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☒ NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Miner, Roger J

Date of Report

05/15/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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. Alltel Corp.	A	Dividend	J	T					
2. American Electric Power Co.	A	Dividend	J	T					
3. AT&T Inc.	C	Dividend	M	T					
4. Bank of America	D	Dividend	M	T					
5. Bell South	C	Dividend			Merger AT&T	12/29			
6. CH Energy Group, Inc.	A	Dividend	K	T					
7. Comcast		None	K	T					
8. Embarq Corporation (Spinoff from Sprint Nextel)	A	Dividend	J	T	Spinoff	05/17			
9. Exxon Mobil Corp.	D	Dividend	O	T					
10. First Energy	B	Dividend	K	T					
11. Fort Dearborn Income Securities	A	Dividend	J	T					
12. Gencorp Inc.		None	J	T					
13. GETECH	A	Dividend			Sell	10/05	K	E	
14. (The) Hartford Financial Services Group, Inc.	A	Dividend	K	T					
15. Hess Corp. (formerly Amerada Hess Corp.)	A	Dividend	K	T					
16. Host Hotels and Resorts (Spinoff from Starwood Corporation)	A	Dividend	J	T	Spinoff	06/03			
17. I.B.M.	A	Dividend	L	T					

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 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q=Appraisal U=Book Value				

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Name of Person Reporting

Miner, Roger J

Date of Report

05/15/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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. Idearc (Spinoff from Verizon Communications)	A	Dividend	J	T	Spinoff	11/07			
19. ITT Corp. (formerly I.T.T. Industries, Inc.)	A	Dividend	J	T					
20. Key Corp.	D	Dividend	M	T					
21. MetLife	A	Dividend	J	T					
22. National Grid Group	A	Dividend	J	T					
23. NCR		None	J	T					
24. Omnova Solutions, Inc.		None	J	T					
25. P.S.E.G. Inc.	A	Dividend	J	T					
26. Qwest Comm. International Inc.		None	J	T					
27. Rayonier	A	Dividend	K	T					
28. Ryerson Tull	A	Dividend	J	T					
29. Southern Co. (The)	B	Dividend	K	T					
30. Sprint-Nextel	A	Dividend	K	T					
31. SPX Corp.	A	Dividend	K	T					
32. Starwood Hotels & Resorts	A	Dividend	J	T					
33. TXU	A	Dividend	K	T					
34. Verizon Communications	D	Dividend	M	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	T = Cash Market
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated		

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Name of Person Reporting

Miner, Roger J

Date of Report

05/15/2007

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☐ NONE (No reportable income, assets, or transactions.)

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35. Vodafone Airtouch PLC	C	Dividend	K	T					
36. Windstream (Spinoff from Alltel Corp.)	A	Dividend	J	T	Spinoff	07/29			
37. Alliance Capital A -Growth & Income Fund	B	Div/Cap Gain	M	T					
38. Black Rock Large Cap. Equity Fund (form. Black Rock Inv. Tr)	A	Div/Cap Gain	L	T					
39. Century Shares Trust	D	Div/Cap Gain	K	T					
40. Dreyfus Fund (KEOGH PLAN)	E	Div/Cap Gain	N	T					
41. Legg-Mason (form. Salomon Bros.) (including capital gains)	E	Dividend	M	T	Renamed	11/20			
42. Midas Spec. Equities Fund		None	J	T					
43. Neuberger-Berman Manhattan Fund		None	K	T					
44. Oppenheimer Bond Fund Class A	A	Div/Cap Gain	J	T					
45. River Source (RVS Balanced Fund)	A	Div/Cap Gain	K	T					
46. River Source (RVS Stock Fund)		None			Sell	01/09	K	C	
47. Robeco Fund (formerly Weiss Peck Greer-WPG Fund, Inc.)	A	Div/Cap Gain	K	T					
48. T.E. Securities Trust Series #19	A	Interest	J	T					
49. Municipal Bond Fund Series #37	A	Interest	J	T					
50. Franklin New York Tax Free A Income Fund	B	Interest	L	T					
51. Oppenheimer-Rochester Fund Municipals	A	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Miner, Roger J

Date of Report

05/15/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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)
52. Key Bank, N.A. (various accounts, including IRAs)	C	Interest	M	T					
53. McDonald Investments Victory Prime (form. Prudential-Bache)	A	Interest	J	T					
54. U.S. Savings Bonds	C	Interest	M	T					

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
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Name of Person Reporting

Miner, Roger J

Date of Report

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

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Miner, Roger J

Date of Report

05/15/2007

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

Date

April 30, 2007

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:

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