

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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	3. Date of Report 12/08/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 141 Church Street New Haven, CT 06510		
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. Trustee	William Nelson Cromwell Foundation, New York, NY
2. Member	Academic Advisory Committee of the Institute for Constitutional Studies, The George Washington University, Washington, DC
3. NOTE:	Note: No income of any kind was derived from any of the positions or services or activities noted above.
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.		
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. 2013	University of Chicago Press (Royalties)
2. 2013	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. Columbia Law School	March 13, 2013	New York, NY	Participate in a colleague's Law School class	Meal and cost of transportation to and from New York
2. Dartmouth College	May 10-12, 2013	Hanover, NH	Attend or participate in varied University academic and social functions	Meals and refreshments as spouse of former University Trustee
3. Administrative Office of the U.S. Courts	July 9, 2013	Washington, DC	Attend meeting with Hon. Judge Thomas F. Hogan	Meals and cost of transportation to and from Washington, D.C.
4. William Nelson Cromwell Foundation	October 28, 2013	New York, NY	Annual Meeting of the Trustees	Meal and cost of transportation to and from New York
5. Connecticut Hispanic Bar Association	December 14, 2013	Portland, CT	Keynote Speaker at annual dinner of CHBA	Meal

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6.	Yale University	Various dates throughout the year	New Haven, CT	Attend or participate in varied University academic and social functions	Meals and refreshments as spouse of tenured faculty member or as a former University Trustee
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					

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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.	Jay Vlock & Gail Brekke; Michael Vlock	Tickets to N.Y. Yankees game	\$600.00
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. People's United Financial Inc (PBCT)	A	Dividend			Sold	10/17/13	K		
2. Puerto Rico Comwlth Hwy Transnauth (CUSIP 745190AV0)	B	Dividend			Sold	09/25/13	L		
3. Conn. St. General Oblig. Ref. Ser-B (CUSIP 20772GKL1)	B	Interest			Sold	09/25/13	L	C	
4. Western Asset MNGD Municipal Fund (MMU)	B	Int./Div.	K	T	Sold (part)	09/26/13	K		
5. Nuveen Premium Income Municipal Fund (NPI)	B	Int./Div.	K	T	Sold (part)	09/26/13	K		
6. Nuveen Connecticut Premium (NTC)	B	Int./Div.	K	T	Sold (part)	09/26/13	K		
7. Columbia Tax Exempt Fund Class C (COLCX)	B	Int./Div.	K	T	Sold (part)	09/24/13	K		
8. Blackrock Muniyield Invt FD (MYF)	B	Int./Div.			Sold	09/26/13	L	A	
9. Vanguard Life Strategy Conservatice Portfolio (VSCGX)	B	Dividend	M	T	Sold (part)	10/01/13	L	B	
10.					Sold	07/18/13	M	D	
11. Fidelity Asset Manager (FASMX)	A	Dividend			Sold	09/20/13	L	D	
12. Wells Fargo Fund CL-C (EACFX)		None			Sold	09/25/13	J	A	
13. T Rowe Price New Horizons (PRNHX) (X)		None			Sold	09/25/13	J	B	
14. Prudential Jennison Mid-Cap Growth Fund (PEGZX) (X)		None			Sold	09/25/13	J	A	
15. MFS Research International Fund (MRSIX) (X)		None			Sold	09/25/13	J	A	
16. Loomis Sayles Value Fund (LSGIX) (X)		None			Sold	09/25/13	J	B	
17. Clearbridge Small Cap Fund (SBPXY) (X)		None			Sold	09/25/13	J	B	

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 \$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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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)
18.	Lazard Developing Markets Equity (LDMIX) (X)		None			Sold	09/25/13	J		
19.	IShares Country Asia(AAXJ) (X)		None			Sold	09/27/13	J		
20.	IShares Basic Materials (IYM) (X)		None			Sold	09/27/13	J	A	
21.	IShares Dow Jones(IYW) (X)		None			Sold	09/27/13	J	A	
22.	IShares Latin America 40(ILF) (X)		None			Sold	09/27/13	J		
23.	Target Corp (TGT)		None			Sold	10/31/13	J	A	
24.	Schlumberger LTD (SLB) (X)		None			Sold	10/31/13	J	A	
25.	Royal Dutch Shell (RDS A) (X)		None			Sold	10/31/13	J	A	
26.	Prudential Financial Inc. (PRU) (X)		None			Sold	10/31/13	J	B	
27.	Pfizer Inc. (PFE) (X)		None			Sold	10/31/13	K	D	
28.	Yahoo Inc. (YHOO) (X)		None			Sold	10/31/13	J	B	
29.	Wellpoint Inc. (WLP) (X)		None			Sold	10/31/13	J	B	
30.	Walgreen Co. (WAG) (X)		None			Sold	10/31/13	J	B	
31.	WalMart Co. (WMMVY) (X)		None			Sold	10/31/13	J		
32.	Verizon (VZ) (X)		None			Sold	10/31/13	J	B	
33.	UNUM Group (UNM) (X)		None			Sold	10/31/13	J	A	
34.	United Technologies Corp. (UTX) (X)		None			Sold	10/31/13	J	A	

- | | | | | | |
|--|--|--|--|--|-------------------------|
| 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)
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| 3. Value Method Codes
(See Column C2) | | | | | |

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	Code 1 (A-H)		Code 2 (J-P)	Method Code 3 (Q-W)		mm/dd/yy	Code 2 (J-P)	Code 1 (A-H)	
35. US Bancorp (USB) (X)		None			Sold	10/31/13	K	C	
36. Tupperware Brands Corp (TUP) (X)		None			Sold	10/31/13	J	B	
37. Travelers Cos. Inc. (TRV) (X)		None			Sold	10/31/13	J	A	
38. Oracle Corp (ORCL) (X)		None			Sold	10/31/13	K		
39. Oneok Partners LP (OKS) (X)		None			Sold	10/31/13	J		
40. Monsanto Co(MON) (X)		None			Sold	10/31/13	J	A	
41. MFS International Growth Fund (MQGIX) (X)		None			Sold	09/25/13	J	A	
42. Wells Fargo Allocation C (CUSIP 94985D426) (X)		None			Sold	10/16/13	J	C	
43. Mondelez International Inc (MDLZ) (X)		None			Sold	10/31/13	J	B	
44. Microsoft Corp (MSFT) (X)		None			Sold	10/31/13	J	C	
45. Metlife Inc (MET) (X)		None			Sold	10/31/13	J	C	
46. Laclede Group (LG) (X)		None			Sold	10/31/13	J	A	
47. Kraft Foods (KRFT)(X)		None			Sold	10/31/13	J	B	
48. Kinder Morgan Inc (KMI)		None			Sold	10/31/13	J		
49. Johnson & Johnson (JNJ) (X)		None			Sold	10/31/13	J	A	
50. International Business Machs Corp (IBM) (X)		None			Sold	10/31/13	J		
51. Intel Corp (INTC) (X)		None			Sold	10/31/13	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

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D =\$5,001 - \$15,000

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M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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52. Humana Inc (HUM) (X)		None			Sold	10/31/13	J	A	
53. General Mills Inc (GIS) (X)		None			Sold	10/31/13	J	A	
54. General Electric Co (GE) (X)		None			Sold	10/31/13	J	A	
55. Franklin Missouri Tax-Free (FRMOX) (X)		None			Sold	10/31/13	K		
56. Franklin Resources (BEN) (X)		None			Sold	10/31/13	J	B	
57. Exxon Mobil Corp (XOM) (X)		None			Sold	10/31/13	J		
58. Exelon Corp (EXC) (X)		None			Sold	10/31/13	J		
59. Ericsson L M Tel Co (ERIC) (X)		None			Sold	10/31/13	J	A	
60. Duke Energy Corp(DUK) (X)		None			Sold	10/31/13	J	A	
61. Dollar Tree Inc(DLTR) (X)		None			Sold	10/31/13	J	B	
62. Disney Walt Co. (DIS) (X)		None			Sold	10/31/13	J	A	
63. Dicks Sporting Goods Inc (DKS) (X)		None			Sold	10/31/13	J	A	
64. Commerce Bancshares (CBSH) (X)		None			Sold	10/31/13	J	C	
65. Comcast Corp (CMCSA) (X)		None			Sold	10/31/13	J	A	
66. Chevron Corp (CVX) (X)		None			Sold	10/31/13	J	A	
67. Celgene Corp (CELG) (X)		None			Sold	10/31/13	J	D	
68. Caterpillar Inc (CAT) (X)		None			Sold	10/31/13	K		

- | | | | | | |
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69. Broadcom Corp (BRCM) (X)		None			Sold	10/31/13	J		
70. Boeing Co (BA) (X)		None			Sold	10/31/13	K	D	
71. Bank America Corp (BAC) (X)		None			Sold	10/31/13	J	A	
72. BP PLC Spons (BP) (X)		None			Sold	10/31/13	J		
73. Anadarko Pete Corp (APC) (X)		None			Sold	10/31/13	J	B	
74. American Express Company (AXP) (X)		None			Sold	10/31/13	J	C	
75. Ameren Corp (AEE) (X)		None			Sold	10/31/13	J	A	
76. AT&T (T) (X)		None			Sold	10/31/13	K	A	
77. Aflac (AFL) (X)		None			Sold	10/31/13	J	B	
78. Partnerre LTD (PRE) (X)		None			Sold	10/31/13	J	A	
79. Invesco LTD (IVZ) (X)		None			Sold	10/31/13	J	A	
80. Harris Associates (NEFOX) (X)		None			Sold	10/31/13	J	B	
81. Natixis (NEFSX) (X)		None			Sold	10/31/13	J	A	
82. CGM Advisor (NEFGX) (X)		None			Sold	10/31/13	K	C	
83. Loomis Sayles Strategic Income (NEFZX)		None			Sold	10/31/13	K	B	
84. Loomis Sayles Growth Fund (LGRRX) (X)		None			Sold	10/31/13	J	A	
85. Loomis Sayles Global Equity (LGMAX) (X)		None			Sold	10/31/13	J	A	

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2. Value Codes (See Columns C1 and D3)					
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86. Morgan Stanley Roth IRA	A	Dividend	M	T					
87. HARTFORD LIFE & ANNUITY INS. CO. (VARIABLE LIFE INS. POLICY) (see #242)	A	Int./Div.	K	T					
88. Pepsico Inc. Com		None			Sold	10/28/13	J	A	
89. Bernstein Diversified Municipal Portfolio Fund Advisor Class (SNDPX)		None	K	T	Buy	09/23/13	J		
90.		None			Buy	09/24/13	K		
91.		None			Buy (add'l)	09/26/13	J		
92.		None			Buy (add'l)	10/01/13	J		
93.		None			Buy (add'l)	10/03/13	J		
94.		None			Buy (add'l)	10/17/13	J		
95.		None			Buy (add'l)	10/31/13	K		
96.		None			Buy (add'l)	11/01/13	J		
97.		None			Buy (add'l)	11/15/13	J		
98.		None			Buy (add'l)	12/27/13	J		
99. Fidelity Advisor Emerging Markets Income Class I	A	Dividend	J	T	Buy	09/24/13	J		
100.		None			Buy (add'l)	09/26/13	J		
101.		None			Buy (add'l)	09/27/13	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

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Name of Person Reporting	Date of Report
Cabranes, Jose A.	12/08/2014

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)
102.		None			Buy (add'l)	10/03/13	J		
103.		None			Buy (add'l)	10/17/13	J		
104.		None			Buy (add'l)	10/31/13	J		
105.		None			Buy (add'l)	11/04/13	J		
106.		None			Buy (add'l)	11/19/13	J		
107. Franklin High Yield Tax Free Income Fund Advisor Class		None	K	T	Buy	09/23/13	J		
108.		None			Buy (add'l)	09/24/13	K		
109.		None			Buy (add'l)	09/25/13	J		
110.		None			Buy (add'l)	10/01/13	J		
111.		None			Buy (add'l)	10/15/13	J		
112.		None			Buy (add'l)	10/29/13	J		
113.		None			Buy (add'l)	10/31/13	K		
114.		None			Buy (add'l)	11/15/13	J		
115. IShares TR MSCI (EFA)	A	Dividend	K	T	Buy	09/24/13	J		
116.		None			Buy (add'l)	09/26/13	K		
117.		None			Buy (add'l)	09/27/13	J		
118.		None			Buy (add'l)	10/03/13	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

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Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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)
119.		None			Buy (add'l)	10/17/13	J		
120.		None			Buy (add'l)	10/31/13	K		
121.		None			Buy (add'l)	11/04/13	J		
122.		None			Buy (add'l)	11/19/13	J		
123. ISHARES TR MSCI EAFESMALL CAP ETF (SCZ)	A	Dividend	J	T	Buy	09/24/13	J		
124.		None			Buy (add'l)	09/26/13	J		
125.		None			Buy (add'l)	09/27/13	J		
126.		None			Buy (add'l)	10/03/13	J		
127.		None			Buy (add'l)	10/17/13	J		
128.		None			Buy (add'l)	10/31/13	J		
129.		None			Buy (add'l)	11/04/13	J		
130.		None			Buy (add'l)	11/19/13	J		
131. ISHARES TR RUSSELL 1000 GROWTH ETF (IWF)		None	K	T	Buy	09/24/13	J		
132.		None			Buy (add'l)	09/26/13	K		
133.		None			Buy (add'l)	09/27/13	J		
134.		None			Buy (add'l)	10/03/13	J		
135.		None			Buy (add'l)	10/15/13	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 13 of 21

Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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)
136.		None			Buy (add'l)	10/17/13	J		
137.		None			Buy (add'l)	10/31/13	K		
138.		None			Buy (add'l)	11/04/13	J		
139.		None			Buy (add'l)	11/19/13	J		
140. ISHARES TR RUSSELL 1000 VALUE ETF (IWD)		None	L	T	Buy	09/24/13	J		
141.		None			Buy (add'l)	09/26/13	L		
142.		None			Buy (add'l)	09/27/13	J		
143.		None			Buy (add'l)	10/03/13	J		
144.		None			Buy (add'l)	10/17/13	J		
145.		None			Buy (add'l)	10/31/13	L		
146.		None			Buy (add'l)	11/04/13	J		
147.		None			Buy (add'l)	11/19/13	J		
148. ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)		None	J	T	Buy	09/24/13	J		
149.		None			Buy (add'l)	09/26/13	J		
150.		None			Buy (add'l)	09/27/13	J		
151.		None			Buy (add'l)	10/03/13	J		
152.		None			Buy (add'l)	10/17/13	J		

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 \$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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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)
153.		None			Buy (add'l)	10/31/13	J		
154.		None			Buy (add'l)	11/04/13	J		
155.		None			Buy (add'l)	11/19/13	J		
156. ISHARES TR RUSSELL 2000 VALUE ETF (IWN)		None	J	T	Buy	09/24/13	J		
157.		None			Buy (add'l)	09/26/13	J		
158.		None			Buy (add'l)	09/27/13	J		
159.		None			Buy (add'l)	10/03/13	J		
160.		None			Buy (add'l)	10/17/13	J		
161.		None			Buy (add'l)	10/31/13	J		
162.		None			Buy (add'l)	11/04/13	J		
163.		None			Buy (add'l)	11/19/13	J		
164. ISHARES TR RUSSELL MID-CAP ETF (IWR)		None	J	T	Buy	09/24/13	J		
165.		None			Buy (add'l)	09/26/13	J		
166.		None			Buy (add'l)	09/27/13	J		
167.		None			Buy (add'l)	10/03/13	J		
168.		None			Buy (add'l)	10/17/13	J		
169.		None			Buy (add'l)	10/31/13	J		

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 \$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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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)
170.		None			Buy (add'l)	11/04/13	J		
171.		None			Buy (add'l)	11/19/13	J		
172. ISHARES TR RUSSELL MID-CAP VALUE ETF (IWS)		None	K	T	Buy	09/24/13	J		
173.		None			Buy (add'l)	09/26/13	K		
174.		None			Buy (add'l)	09/27/13	J		
175.		None			Buy (add'l)	10/03/13	J		
176.		None			Buy (add'l)	10/17/13	J		
177.		None			Buy (add'l)	10/31/13	K		
178.		None			Buy (add'l)	11/04/13	J		
179.		None			Buy (add'l)	11/19/13	J		
180. SPDR SER TR DOW JONES REIT ETF (RWR)		None	J	T	Buy	09/24/13	J		
181.		None			Buy (add'l)	09/26/13	J		
182.		None			Buy (add'l)	09/27/13	J		
183.		None			Buy (add'l)	10/03/13	J		
184.		None			Buy (add'l)	10/17/13	J		
185.		None			Buy (add'l)	10/31/13	J		
186.		None			Buy (add'l)	11/04/13	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

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Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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)
187.		None			Buy (add'l)	11/19/13	J		
188. T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE (PRSMX)		None	K	T	Buy	11/19/13	J		
189.		None			Buy (add'l)	11/19/13	J		
190.		None			Buy (add'l)	11/21/13	K		
191.		None			Buy (add'l)	11/21/13	K		
192. THORNBURG INTERMED MUNICIPAL NATIONAL (THMIX)		None	L	T	Buy	09/24/13	J		
193.		None			Buy (add'l)	09/26/13	K		
194.		None			Buy (add'l)	09/27/13	J		
195.		None			Buy (add'l)	09/27/13	K		
196.		None			Buy (add'l)	10/03/13	J		
197.		None			Buy (add'l)	10/07/13	J		
198.		None			Buy (add'l)	10/17/13	J		
199.		None			Buy (add'l)	10/31/13	L		
200.		None			Buy (add'l)	11/04/13	J		
201.		None			Buy (add'l)	11/19/13	J		
202.		None			Sold (part)	11/21/13	L	A	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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)
203. TIAA CREF EMERGING MARKETS EQUITY INDEX FUND INSTITUTION (TEQLX)		None	K	T	Buy	09/23/13	J		
204.		None			Buy (add'l)	09/24/13	K		
205.		None			Buy (add'l)	09/25/13	J		
206.		None			Buy (add'l)	09/26/13	J		
207.		None			Buy (add'l)	10/01/13	J		
208.		None			Buy (add'l)	10/15/13	J		
209.		None			Buy (add'l)	10/31/13	K		
210.		None			Buy (add'l)	11/15/13	J		
211. WELLS FARGO ADVTG ULTRA SHORT-TERM MUNI INCOME FD CL A (SMAVX)		None	K	T	Buy	09/23/13	J		
212.		None			Buy (add'l)	09/24/13	K		
213.		None			Buy (add'l)	09/26/13	J		
214.		None			Buy (add'l)	10/01/13	J		
215.		None			Buy (add'l)	10/15/13	J		
216.		None			Buy (add'l)	10/17/13	J		
217.		None			Buy (add'l)	10/31/13	L		
218.		None			Buy (add'l)	11/15/13	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

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Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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)
219.		None			Buy (add'l)	12/18/13	J		
220. TIAA-CREF Annuity (vested)	D	Int./Div.	L	T					
221. TIAA-CREF PENSION		None	P1	T					
222. MORGAN STANLEY ROTH IRA		None	M	T					
223. -AFIFX					Sold	09/27/13	J		
224. -MCGFX					Sold	09/27/13	J		
225. -BPRAX					Sold	09/27/13	J		
226. -BMCSX					Sold	09/27/13	J		
227. -CCVIX					Sold	09/27/13	J		
228. -DTRIX					Sold	09/27/13	K		
229. -EHSTX					Sold	09/27/13	J		
230. -EACSX					Sold	09/27/13	J		
231. -HLEMX					Sold	09/27/13	J		
232. -IGLAX					Sold	09/27/13	J		
233. -JDIAX					Sold	09/27/13	J		
234. -JDPAX					Sold	09/27/13	J		
235. -PTTAX					Sold	09/27/13	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

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Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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)
236. -RPFFX					Sold	09/27/13	J		
237. -TPINX					Sold	09/27/13	J		
238. -TGVAX					Sold	09/27/13	J		
239. TIAA CREF ROTH IRA		None	M	T					
240. -TIAA CREF REAL ESTATE MUTUAL FUND					Buy	10/07/13	M		
241. MS ACTIVE ASSETS TAX FREE TRUST		None			Redeemed	07/03/13	J		
242. Hartford Life & Annuity Co. (Variable Life Ins. Policy)									
243. -PVT Growth & Income		None	K	T					
244. -HLS Stock		None	K	T					
245. Vanguard Tax Exempt Money Market Fund-VMSXX		None			Sold	6/10/13	J		
246. Citizens Bank Accounts	A	Interest	K	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
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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)
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| 3. Value Method Codes
(See Column C2) | | | | | |

FINANCIAL DISCLOSURE REPORT

Page 20 of 21

Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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

V. Gifts:

The amount listed is an approximate value. The precise value of the hospitality (tickets) was not disclosed to us by our hosts.

FINANCIAL DISCLOSURE REPORT

Page 21 of 21

Name of Person Reporting

Cabranes, Jose A.

Date of Report

12/08/2014

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/ Jose A. Cabranes**

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
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