

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Lynch, Gerard E.	2. Court or Organization U.S. Court of Appeals, Second Circuit	3. Date of Report 05/12/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address 40 Foley Square New York, NY 10007		
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. Professor of Law	Columbia University
2.	
3.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/12/2016

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. 1/1/15	Columbia University	\$26,500.00
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. 1/1/15	Flushing Hospital
2. 1/1/15	Private Practice of Psychotherapy
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 University	Sept. 18-20	New Paltz, NY	Academic Conference	Lodging, Meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/12/2016

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/12/2016

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. Citibank Accounts	A	Interest	M	T					
2. Merrill Lynch Money Market	A	Interest	L	T					
3. Ameriprise Money Market	B	Interest	M	T					
4. Blackrock NY Muni Inc. Tr.	A	Dividend	K	T					
5. Gabelli Utility Trust PFD	A	Dividend	J	T					
6. ING Savings Account	A	Interest	J	T					
7. AGIC Con. Fd.	A	Dividend	J	T					
8. ING Global Equity Fund	A	Dividend	J	T					
9. PIMCO NY Muni Inc. Fd.	A	Dividend	J	T					
10. Blackrock Global Allocation B	A	Dividend	J	T					
11. Triborough BTA Bonds	A	Interest	L	T	Buy	10/06/15	J		
12. Eaton Vance Enhanced Equity Fd.	A	Dividend	J	T					
13. Eaton Vance Tax Managed Global Fund	A	Dividend	J	T					
14. Nuveen Municipal Value	A	Dividend	J	T					
15. PIMCO Income Strategy Fd.	A	Dividend	J	T					
16. Putnam Int'l. Gr. Fund	A	Dividend	J	T					
17. Alpine Total Dynamic Div. Fd.	A	Dividend	J	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 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

Page 5 of 9

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/12/2016

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 I (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. Invesco Tax Free Int. Shares	A	Dividend	J	T					
19. Eaton Vance Floating Rate Inc. Tr.	A	Dividend	J	T					
20. Rochester Muni Fd. Cl A	B	Dividend	K	T					
21. Templeton Dev. Mkt. Trust A	A	Dividend	J	T					
22. Rydex Inverse Govt. Long Bond Strategy		None	J	T					
23. Franklin Utilities	A	Dividend	J	T					
24. SunAmerica Focused Small Cap		None	J	T					
25. TIAA-CREF		None	O	T					
26. Franklin Income Fd. C	A	Dividend	J	T					
27. ING Risk Managed Nat. Res. Fd.	A	Dividend	J	T					
28. Nuveen Global Fd.	A	Dividend	J	T					
29. NYC Bonds	A	Interest	K	T					
30. Port Authority Bonds	A	Interest	J	T					
31. NYS Dorm Auth. Bonds	B	Interest	K	T					
32. Hartford Cap. Apprec. Fd.	A	Dividend	J	T					
33. Fidelity Adv. Div. Int'l.	A	Dividend	J	T					
34. Lord Abbett NY T/F	B	Interest	L	T	Buy	10/06/15	K		

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

Page 6 of 9

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/12/2016

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)
35. PIMCO Long-term U.S. GOVT.	A	Interest	J	T					
36. Putnam Amer-govt. Income FD	A	Interest	J	T					
37. Columbia NY Tax Exp. Cl. A	B	Interest	K	T					
38. Fidelity Adv. Govt. Income FD	A	Interest	J	T					
39. Franklin U.S. Govt. Sel. FD	B	Dividend	K	T					
40. Lord Abbett Short Duration Income FD	A	Dividend	J	T					
41. Hartford Inflation Plus FD	A	Dividend	J	T					
42. Rental Property, Manhattan, New York, NY (2002, \$272,500)	A	Rent	N	R					
43. Nassau County Bonds	A	Interest	K	T					
44. Franklin NY Tax Free	B	Interest	K	T					
45. Fidelity Adv. Strategic	A	Dividend	J	T					
46. Vanguard Consumer Staples	A	Dividend	J	T					
47. Vanguard Info Tech	A	Dividend	J	T					
48. Vanguard Emerg. Mkts.	A	Dividend	J	T					
49. Vanguard High Dvd. Yield	A	Dividend	J	T					
50. New York, NPFG RF Ser. P	B	Interest			Redeemed	08/03/15	K		
51. Vanguard Total Stock Market ETF	A	Dividend	J	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 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

Page 7 of 9

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/12/2016

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)
52. Vanguard Total Bond Market ETF	A	Dividend	J	T					
53. Green Haven Continuous Commodity Index Fund		None	J	T					
54. Nuveen Int-Dur. Mun. Term Fund	A	Dividend	J	T					
55. Blackrock Mun. Target Term Trust	A	Dividend	J	T					
56. Legg Mason Western Asset Municipal Income	A	Dividend	K	T					
57. Vanguard FTSE All World ETF	A	Dividend	J	T					
58. Vanguard REIT Index ETF	A	Dividend	J	T					
59. Goldman Sachs Technology Fd.	A	Dividend	J	T	Buy	10/06/15	J		
60. Nuveen Santa Barbara Div. G. Fund	A	Dividend	J	T					
61. Berkshire Bank CD	A	Interest			Redeemed	06/19/15	M		
62. Goldman Sachs CD	A	Interest			Redeemed	04/25/15	K		
63. Safra National Bank CD	A	Interest			Redeemed	02/18/15	K		
64. Wisdomtree Int'l. ETF	A	Dividend	J	T	Buy	06/23/15	J		
65. Santanda Bank CD	A	Interest	L	T	Buy	06/26/15	L		
66. Erie County NY Swr. Dist.	A	Interest	J	T	Buy	10/05/15	J		
67.									
68.									

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	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/12/2016

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/12/2016

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/ Gerard E. Lynch**

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