

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Chin, Denny	2. Court or Organization Second Circuit	3. Date of Report 04/26/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Courthouse 40 Foley Square, Room 2003 New York, New York 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.	Adjunct Professor	Fordham Law School
2.	Board Member	Fordham Law Review Alumni Association
3.	Board Member, Vice President	Fordham Law Alumni Association
4.	Executive Committee Member	Federal Bar Council Inn of Court
5.	Trustee	Princeton University
6.	Board Member	Sonia and Celina Sotomayor Judicial Internship Program

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2016	Fordham Law School, wages for teaching	\$19,250.00
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.)*

DATE	SOURCE AND TYPE
1. 2016	Law firm income
2.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Princeton University	January 28-30, 2016	Princeton, NJ	Attend Board Meeting	hotel
2. Princeton University	February 18-20, 2016	Princeton, NJ	Attend Board Meeting	hotel
3. APABA Los Angeles	February 25-27, 2016	Los Angeles, CA	Speaker	travel expenses/hotel
4. Princeton University	April 1-2, 2016	Princeton, NJ	Attend Board Meeting	hotel
5. Princeton University	May 29-30, 2016	Princeton, NJ	Attend Board Meeting	hotel
6. Georgia Asian Pacific American Bar Association	June 17-18, 2016	Amelia Island, GA	Speaker	travel expenses/hotel

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7.	Princeton University	September 22-24, 2016	Princeton, NJ	Attend Board Meeting	hotel
8.	University of Hawaii Law School	October 17-19, 2016	Honolulu, HI	Speaker	travel expenses, hotel
9.	Southern District of GA Federal Bar Association	November 9-11, 2016	Savannah, GA	Speaker	travel expenses/hotel
10.	Princeton University	November 17-19, 2016	Princeton, NJ	Attend Board Meeting	hotel

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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.			
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.	Cadwalader 401K	Loan from retirement plan [REDACTED]	J
2.	Citibank	Loan for Cadwalader Capital Account [REDACTED]	M
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. Eastbank, N.A. bank accounts	A	Interest	M	T					
2. Chase Bank bank accounts	A	Interest	L	T					
3. Citibank bank accounts	B	Interest	M	T					
4. Fidelity Investments Puritan Fund IRA	A	Dividend	J	T					
5. Northwestern Mutual whole life insurance	A	Dividend	M	T					
6. NYS 529 college savings plans; moderate age-based option	A	Dividend	L	T					
7. Dodge & Cox Stock Fund	D	Dividend	M	T					
8. Artisan International Fund	B	Dividend	N	T					
9. Vanguard Wellington Fund Investor Shares	D	Dividend	N	T					
10. Vanguard Primecap Fund Admiral	E	Dividend	O	T					
11. Vanguard Inst. Index Fund	D	Dividend	O	T					
12. Vanguard Windsor II Fund Investor Shares	D	Dividend	M	T					
13. Merrill Lynch Cash/Money Account	A	Interest	K	T					
14. Blackrock Hi Yld Bd	C	Dividend	L	T					
15. MSCI Emerging	A	Dividend	K	T					
16. Oppenheimer Developing	A	Dividend	L	T					
17. Nuveen Hi Yield Muni	B	Dividend	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 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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18. SPDR DJ Wilshire REIT	A	Dividend	L	T					
19. Skybridge G II Fund	A	Dividend	N	T					
20. Vanguard Int'l Value Fund	A	Dividend	N	T					
21. Vanguard Total Bond Market Index Fund	B	Dividend	N	T	Buy	11/03/16	N		Vanguard
22. Vanguard Small-Cap Index Fund	B	Dividend	M	T	Buy	11/03/16	M		Vanguard
23. Vanguard Intermediate Term Investment Grade Fund	B	Dividend	M	T	Buy	11/03/16	M		Vanguard
24. iShares Currency Hedged	A	Dividend	K	T	Buy	02/08/16	K		Merrill Lynch
25. iShares Edge MSCI Min	B	Dividend	K	T	Buy	02/03/16	K		Merrill Lynch

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

For Question VII, I omitted "Vanguard Long Term Investment Grade Fund," "Vanguard Explorer Fund Investor Shares," and "Loomis Sayles Core Plus," which appeared in my 2015 report. These funds were part of [REDACTED] retirement funds at [REDACTED] place of employment. On November 3, 2016, in an employer initiated exchange, which applied to all employees, the funds were transferred to the "Vanguard Total Bond Market Index Fund," "Vanguard Small-Cap Index Fund," and "Vanguard Intermediate-Term Investment-Grade Fund."

Also for Question VII, I added "iShares Currency Hedged," which we purchased on February 8, 2016.

Also for Question VII, I omitted "SPDR Gold Trust," which appeared in my 2015 report. We sold those shares on February 8, 2016, sustaining a loss of value B.

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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/ Denny Chin**

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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