

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) Wesley, Richard C.	2. Court or Organization U.S. Court of Appeals, 2nd Circuit	3. Date of Report 03/30/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active, U.S. 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 Livingston County Government Center 6 Court Street Geneseo, New York 14454		
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.	Member	Cornell Law School Advisory Council
2.	Trustee	Trust I and II
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. 2003	New York State Employees Retirement System: Pension upon Retirement at age 55
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

03/30/2017

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. 2016	New York State Employees Retirement System	\$55,000.00
2. 2016	Cornell University Teaching Stipend	\$45,000.00
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. 2016	New York State Teacher's Retirement
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Bar Council	01/1/2016 - 01/08/16	Hualalai Kona, HI	Educational Seminar	transportation, room, meals
2. Cornell Law School	06/23/16-06/24/16	Ithaca, NY	Educational Seminar	transportation, meal
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

03/30/2017

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 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

03/30/2017

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. Key Bank	A	Int./Div.	M	T					
2. Trust I - Chevy Chase Bank Account	A	Int./Div.	J	T					
3. Trust II - Chevy Chase Bank Account	A	Int./Div.	J	T					
4. Northwestern Mutual Life (Whole Life)	C	Dividend	M	T					
5. Northwestern Mutual (Whole Life)	B	Dividend	M	T					
6. Northwestern Mutual Life (Whole Life)	C	Dividend	L	T					
7. Northwestern Mutual Life (Whole Life)	B	Dividend	K	T					
8. Northwestern Mutual Life (Whole Life)	B	Dividend	K	T					
9. Northwestern Mutual Life (Whole Life)	B	Dividend	L	T					
10. DFA International Small Company Fund IRA	A	Dividend	J	T					
11. DFA Emerging Markets Fund IRA	A	Dividend	J	T					
12. DFA Large Cap Value Fund IRA	B	Dividend	K	T					
13. DFA Real Estate Securities Fund IRA	B	Dividend	K	T					
14. Fidelity IRA Cash Account	A	Interest	J	T					
15. DFA Five Year Global Fixed Income Fund IRA	B	Dividend	L	T					
16. DFA International Value Fund IRA	A	Dividend	K	T					
17. DFA Two Year Global Fixed Income IRA	B	Dividend	L	T					

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 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$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

Page 5 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

03/30/2017

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18. DFA US Vector Equity PRTF INSTL CL (DF VEX) IRA	A	Dividend	L	T					
19. DFA Core Equity DFQTX IRA	A	Dividend	K	T					
20. DFA Short Term Gov't PORT (DFFGX) IRA	A	Dividend	L	T					
21. DFA One Year Fixed Income PRTF INSTL IRA	A	Dividend	L	T					
22. Dimensional Emerging* (*2015 typo had "Energy") Markets Value IRA	A	Dividend	J	T					
23. DFA Emerging Marakets Small Cap IRA	A	Dividend	J	T					
24. DFA Int'l Small Cap Value IRA	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
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FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

03/30/2017

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

Trustee of Trust I and II is a life insurance trust -- only value upon death. Currently no monetary value.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Wesley, Richard C.

Date of Report

03/30/2017

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/ **Richard C. Wesley**

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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