

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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 05/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 40 Foley Square New York, NY 10007		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

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.)*

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Lynch, Gerard E.

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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. 01/01/2019	Columbia University	\$100,000.00
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. 01/01/2019	Flushing Hospital
2. 01/01/2019	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. American Society of International Law	Nov. 22, 2019	Washington, DC	Judges' Advisory Board	Travel
2. Federal Bar Association of Honolulu	Dec. 5-9, 2019	Honolulu, HI	CLE Program	Travel, Lodging, Meals
3.				
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

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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. Citibank Accounts	A	Interest	M	T					
2. Bank of America Money Market Account	A	Interest	L	T					
3. Amex Centurion Bank Money Market Account	A	Interest	M	T					
4. Bremer Bank NA Money Market Account	A	Interest	N	T					
5. Blackrock NY Muni Inc. Tr.	A	Dividend	K	T					
6. Gabelli Utility Trust PFD	A	Dividend	J	T					
7. Capital One Savings Account	A	Interest	K	T					
8. Allianz Gl Con. Fd.	A	Dividend	J	T					
9. Voya Global Equity Fund	A	Dividend	J	T					
10. PIMCO NY Muni Inc. Fd.	A	Dividend	J	T					
11. Blackrock Global Allocation B	A	Dividend	J	T					
12. Triborough BTA Bonds	A	Interest			Redeemed	11/15/19	J		
13. Eaton Vance Enhanced Equity Fd.	A	Dividend	J	T					
14. Eaton Vance Tax Managed Global Fund	A	Dividend	J	T					
15. Nuveen Municipal Value Fund	A	Dividend	J	T					
16. PIMCO Income Strategy Fd.	A	Dividend	J	T					
17. Putnam Int'l. Gr. Fund	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	

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18. Alpine Total Dynamic Div. Fd.	A	Dividend	J	T					
19. Invesco Tax Free Int. Shares	A	Dividend	J	T					
20. Eaton Vance Floating Rate Inc. Tr.	A	Dividend	J	T					
21. Rochester Muni Fd. Cl A	B	Dividend	K	T					
22. Rydex Inverse Govt. Long Bond Strategy	A	Dividend	J	T					
23. Franklin Utilities	A	Dividend	J	T					
24. SunAmerica Focused Small Cap	A	Dividend	J	T					
25. TIAA Traditional RA	B	Dividend	O	T					
26. CREF Stock R3	A	Dividend	M	T					
27. Franklin Income Fd. C	A	Dividend	J	T					
28. Voya Risk Managed Nat. Res. Fd.	A	Dividend	J	T					
29. Nuveen Global Fd.	A	Dividend	J	T					
30. NYC Bonds	A	Interest	J	T					
31. Hartford Cap. Apprec. Fd.	A	Dividend	J	T					
32. Fidelity Adv. Div. Int'l.	A	Dividend	J	T					
33. Lord Abbett NY T/F	B	Interest	L	T					
34. Putnam Amer-govt. Income FD	A	Interest	J	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		

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35. Columbia NY Tax Exempt Cl. A	B	Interest	K	T					
36. Fidelity Adv. Govt. Income FD	A	Interest	J	T					
37. Lord Abbett Short Duration Income FD	A	Dividend	J	T					
38. Hartford Inflation Plus FD	A	Dividend	J	T					
39. Rental Property, Manhattan, New York, NY (2002, \$272,500)	D	Rent	N	R					
40. Nassau County Bonds	A	Interest			Redeemed	05/01/19	K		
41. Franklin NY Tax Free	B	Interest	K	T					
42. Fidelity Adv. Strategic	A	Dividend	J	T					
43. Vanguard Consumer Staples	A	Dividend	J	T					
44. Vanguard Info Tech	A	Dividend	J	T					
45. Vanguard Emerg. Mkts.	A	Dividend	J	T					
46. Vanguard High Dvd. Yield	A	Dividend	J	T					
47. Vanguard Total Stock Market ETF	A	Dividend	J	T					
48. Vanguard Total Bond Market ETF	A	Dividend	J	T					
49. Wisdom Tree Continuous Commodity Index Fund	A	Dividend	J	T					
50. Nuveen Int-Dur. Mun. Term Fund	A	Dividend	J	T					
51. Blackrock Mun. Target Term Trust	A	Dividend	J	T					

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52. Western Asset Municipal Income	A	Dividend	K	T					
53. Vanguard FTSE All World ETF	A	Dividend	J	T					
54. Vanguard REIT Index ETF	A	Dividend	J	T					
55. Goldman Sachs Technology Fd.	A	Dividend	J	T					
56. Nuveen Santa Barbara Div. G. Fund	A	Dividend	J	T					
57. NY Convention Ctr. Bond	A	Interest	K	T					
58. Metrop. Trans. Auth. Bond	A	Interest	L	T	Buy (add'l)	12/18/19	K		
59. Wisdomtree Int'l. ETF	A	Dividend	J	T					
60. Erie County NY Sewer Dist.	A	Interest	J	T					
61. Franklin Rising Dir. Fd.	A	Dividend	J	T					
62. Synovus Bank CD	A	Interest	M	T					
63. Blackrock NY Muni Opportunities Fd.	A	Dividend	L	T	Buy (add'l)	12/18/19	J		
64. Bank of the West CD	A	Interest	L	T					
65. Suffolk County Bond	A	Interest	K	T					
66. Putnam Mortgage Sec. Fd.	B	Dividend	J	T					
67. Bank of North America	A	Interest			Redeemed	10/18/19	L		
68. Harris Bank CD	A	Interest			Redeemed	09/30/19	K		

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. Safra Bank CD	B	Interest			Redeemed	07/30/19	M		
70. Pinnacle Bank CD	A	Interest			Redeemed	02/15/19	L		
71. JP Morgan Chase CD	B	Interest			Buy	02/26/19	M		See Part VIII, note 1.
72. JP Morgan Chase CD	B	Interest			Redeemed	08/28/19	M		
73. Medfirst Bank CD	A	Interest			Buy	02/28/19	L		See Part VIII, note 2.
74. Medfirst Bank CD	A	Interest			Redeemed	12/06/19	L		
75. JP Morgan Chase CD	A	Interest	M	T	Buy	12/11/19	M		
76. Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Buy	02/20/19	J		
77. Goldman Sachs Bank CD	B	Interest	M	T	Buy	08/29/19	M		
78. MetaBank CD	B	Interest	M	T	Buy	08/30/19	M		

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

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

1. Part VII. Investments and Trusts - Line 71: Same security as Line 72. Bought and redeemed in 2019, no longer held at end of year.
2. Part VII. Investments and Trusts - Line 73: Same security as Line 74. Bought and redeemed in 2019, no longer held at end of year.

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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/ 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