

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) Chin, Denny	2. Court or Organization Second Circuit	3. Date of Report 07/28/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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. Adjunct Professor	Harvard University

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. 2019	Fordham Law School, wages for teaching	\$8,440.00
2. 2019	Harvard Law School, wages for teaching	\$20,000.00
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. 2019	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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Harvard University	January 31- February 1, 2019	Cambridge, MA	Teach	travel expenses/hotel
2.	Harvard University	February 8, 2019	Cambridge, MA	Teach	travel expenses
3.	Federal Bar Council	February 16-26, 2019	Maui, HI	Speak at Conference	travel expenses/hotel
4.	Harvard University	February 28, 2019	Cambridge, MA	Teach	travel expenses
5.	Harvard University	March 7, 2019	Cambridge, MA	Teach	travel expenses
6.	Harvard University	March 14, 2019	Cambridge, MA	Teach	travel expenses
7.	University of Notre Dame	March 24-26, 2019	South Bend, IN	Teach	travel expenses/hotel

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8.	Harvard University	March 28, 2019	Cambridge, MA	Teach	travel expenses
9.	Harvard University	April 4, 2019	Cambridge, MA	Teach	travel expenses
10.	Harvard University	April 11, 2019	Cambridge, MA	Teach	travel expenses

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.	Cadwalader 401K	Loan from retirement plan (spouse)	J
2.			
3.			
4.			
5.			

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)	(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)
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	K	T					
5. Northwestern Mutual whole life insurance	A	Dividend	M	T					
6. Dodge & Cox Stock Fund	D	Dividend	M	T					
7. Vanguard Wellington Fund Admiral	E	Dividend	O	T					
8. Vanguard Primecap Fund Admiral	G	Dividend	P1	T					
9. Vanguard Inst. Index Fund	D	Dividend	O	T					
10. Vanguard Windsor II Fund Admiral	E	Dividend	O	T					
11. Merrill Lynch Cash/Money Account	A	Interest	K	T					
12. Blackrock Hi Yld Bd	C	Dividend	L	T					
13. Doubleline Emerging	B	Dividend	L	T					
14. Invesco Oppenheimer	A	Dividend	M	T					
15. Nuveen Hi Yield Muni	B	Dividend	K	T					
16. SPDR DJ Wilshire REIT	C	Dividend	L	T					
17. Skybridge G II Fund	B	Dividend	N	T					

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

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)	(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)
18. Vanguard Int'l Value Fund	D	Dividend	O	T					
19. Vanguard Total Bond Market Index Fund	C	Dividend	O	T					
20. Vanguard Small-Cap Index Fund	B	Dividend	M	T					
21. Vanguard Intermediate Term Investment Grade Fund	C	Dividend	M	T					
22. IShares Currency Hedged	A	Dividend	K	T					
23. IShares Edge MSCI Min	A	Dividend	K	T					
24. Vanguard Int'l Growth Adm	D	Dividend	O	T					
25.									
26.									

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

For Question VII, I corrected the following description of the assets:

7. "Vanguard Wellington Fund Investory Shares" should be "Vanguard Wellington Fund Admiral"

10. "Vanguard Windsor II Fund Investory Shares" should be "Vanguard Windsor II Fund Admiral"

13." MSCI Emerging" should be "Doubleline Emerging"

14." Oppenheimer Developing" should be "Invesco Oppenheimer"

I also deleted Artisan Int'l Fund as that fund closed in 2017.

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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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