

AO-10
Rev. 1/91

FINANCIAL DISCLOSURE REPORT

Report Required by the Ethics
Reform Act of 1995, Pub. L. No.
101-194, November 30, 1995
(5 U.S.C.A. App. 6, §§101-112)

1. Person Reporting (Last name, first, middle initial) JACOBS, DENNIS G.	2. Court or Organization U.S. Court of Appeals Second Circuit	3. Date of Report MARCH 22, 1992
4. Title (Article III judges indicate active or senior status; Magistrate judges indicate full- or part-time) Circuit Judge	5. Report Type (check appropriate type) ☒ Nomination, Date MARCH 24, 1992 — Initial — Annual — Final	6. Reporting Period JAN 1, 1991 to FEB. 29, 1992
7. Current or Office Address SIMPSON THACHER & BARTLETT 425 LEXINGTON AVENUE NEW YORK, NY 10017		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions)

PartnerSimpson Thacher & Bartlett

II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS

☒

NONE (No reportable agreements)

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE
(Honoraria only)

SOURCE AND TYPE

GROSS INCOME
(Yours, not spouse's)☐

NONE (No reportable non-investment income)

1	<u>Simpson Thacher & Bartlett: partnership</u>	<u>\$2,039,140</u>
2	<u>income for legal services, 1990, 1991</u>	<u>\$</u>
3	<u>and estimated income for legal</u>	<u>\$</u>
4	<u>services 1/1/92 - 2/29/92</u>	<u>\$</u>
5		<u>\$</u>
		<u>\$</u>

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

JACOBS, DENNIS G.

Date of Report

MARCH 22, 1992

IV. REIMBURSEMENTS and GIFTS - transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.13-15 of instructions.)

SOURCE

DESCRIPTION

☐

NONE (No such reportable reimbursements or gifts)

1	Exempt	
2		
3		
4		
5		
6		
7		
8		

V. OTHER GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of instructions.)

SOURCE

DESCRIPTION

VALUE

☐

NONE (No such reportable gifts)

1	Exempt	\$
2		\$
3		\$
4		\$

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parentheticals "(S)" for separate liability of spouse, "(D)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.16-18 of instructions.)

CREDITOR

DESCRIPTION

VALUE CODE

☒

NONE (No reportable liabilities)

1		
2		
3		
4		
5		
6		
7		

* VALUE CODES: 1 = \$15,000 or less 2 = \$15,001 to \$50,000 3 = \$50,001 to \$100,000 4 = \$100,001 to \$250,000
 5 = \$250,001 to \$500,000 6 = \$500,001 to \$1,000,000 7 = More than \$1,000,000

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

JACOBS, DENNIS G.

Date of Report

MARCH 22, 1992

VII. INVESTMENTS AND TRUSTS – income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of instructions.)

A. Description of Assets (Including trust assets) Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. 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)	If not exempt from disclosure																																	
	Asset Code* (A-E)	Type (e.g., div., rent or int.)	Value Code* (J-P)	Value Method Code* (Q-W)	Type (e.g., buy, sell, margin, redemption)	(2) Date: Month Day	(3) Value Code* (J-P)	(4) Gain Code* (A-E)	(5) Identity of buyer/seller (if private transaction)																														
☐ NONE (No reportable income, assets, or transactions)					EXEMPT																																		
1 MUN. BD: NYC Pub. Ben. Corp. (J)	C	int	L	T																																			
2 MUN. BD: Brookhaven NY Ser. B (J)	D	int	L	T																																			
3 MUN. BD: NYC Mun. Wtr. Fin. Authy (J)	D	int	L	T																																			
4 MUN. BD: NYS Dorm'y Authy (J)	D	int	L	T																																			
5 MUN. BD: NYS Med. Care Fair Fin. Agency (J)	C	int	L	T																																			
6 MUN. BD: NYC (pre-refunded) (J)	D	int	L	T																																			
7 MUN. BD: NYC Mun. Wtr. Fin. Authy (J)	C	int	L	T																																			
8 MUN. Bd: NYS Dorm'y Authy (J)	D	int	L	T																																			
9 MUN. BD: P.R. Pub. Fin. Corp. Ser. B (J)	C	int	M	T																																			
10 MUN. BD: NYS HFA St. Univ. Constr. (J)	A	int	K	T																																			
11 MUN. BD: NYS HFA Refunding St. Univ. Constr. (J)	A	int	J	T																																			
12 U.S. T-Note (J)	D	int	(L)	T	(sold)																																		
13 Rental apt: Pound Ridge, N.Y. (J) (1985: altered purchase price: \$65,000)	D	rent	M	R																																			
14 Working Capital Acct: Law Firm	E	int	M	T																																			
15 Money Mkt: Fidelity (combd) (J)	D	div	N	T																																			
16 Money Mkt: Am Exp Gov't & Agencies Fund (J)	A	div.	K	T																																			
17 Money Mkt: Am Exp Daily Div Fd (J)	B	div	A	T																																			
18 Checking: Amalgamated BK of NY (S)	A	int	A	T																																			
19 Cash accts: MATCo (Chemical Bk) (J)	B	int	L	T																																			
20 Rent sec'y acct: Crossland Sav.	A	int	J	T																																			
<table border="0"> <tr> <td>1 Income/Gain Codes: (See Col. B1 & D4)</td> <td>A=\$1,000 or less B=\$15,001 to \$50,000 C=\$51,000 or less</td> <td>D=\$1,001 to \$2,500 E=\$25,001 to \$100,000 F=\$101,001 to \$500,000</td> <td>G=\$501,001 to \$1,000,000 H=\$1,000,001 to \$5,000,000 I=\$5,000,001 to \$10,000,000</td> <td>J=\$10,000,001 to \$50,000,000 K=\$50,000,001 to \$100,000,000 L=\$100,000,001 to \$500,000,000</td> <td>M=\$500,000,001 to \$1,000,000,000 N=\$1,000,000,001 to \$5,000,000,000 O=\$5,000,000,001 to \$10,000,000,000</td> <td>P=\$10,000,000,001 to \$50,000,000,000 Q=\$50,000,000,001 to \$100,000,000,000 R=\$100,000,000,001 to \$500,000,000,000</td> <td>S=\$500,000,000,001 to \$1,000,000,000,000 T=\$1,000,000,000,001 to \$5,000,000,000,000 U=\$5,000,000,000,001 to \$10,000,000,000,000</td> <td>V=\$10,000,000,000,001 to \$50,000,000,000,000 W=\$50,000,000,000,001 to \$100,000,000,000,000 X=\$100,000,000,000,001 to \$500,000,000,000,000</td> <td>Y=\$500,000,000,000,001 to \$1,000,000,000,000,000 Z=\$1,000,000,000,000,001 to \$5,000,000,000,000,000 AA=\$5,000,000,000,000,001 to \$10,000,000,000,000,000</td> </tr> <tr> <td>2 Value Codes: (See Col. C1 & D3)</td> <td>J=\$15,000 or less K=\$15,001 to \$50,000 L=\$50,001 to \$100,000</td> <td>M=\$100,001 to \$500,000 N=\$500,001 to \$1,000,000 O=\$1,000,001 to \$5,000,000</td> <td>P=\$5,000,001 to \$10,000,000 Q=\$10,000,001 to \$50,000,000 R=\$50,000,001 to \$100,000,000</td> <td>S=\$100,000,001 to \$500,000,000 T=\$500,000,001 to \$1,000,000,000 U=\$1,000,000,001 to \$5,000,000,000</td> <td>V=\$5,000,000,001 to \$10,000,000,000 W=\$10,000,000,001 to \$50,000,000,000 X=\$50,000,000,001 to \$100,000,000,000</td> <td>Y=\$100,000,000,001 to \$500,000,000,000 Z=\$500,000,000,001 to \$1,000,000,000,000 AA=\$1,000,000,000,001 to \$5,000,000,000,000</td> <td>AB=\$5,000,000,000,001 to \$10,000,000,000,000 AC=\$10,000,000,000,001 to \$50,000,000,000,000 AD=\$50,000,000,000,001 to \$100,000,000,000,000</td> <td>AE=\$100,000,000,000,001 to \$500,000,000,000,000 AF=\$500,000,000,000,001 to \$1,000,000,000,000,000 AG=\$1,000,000,000,000,001 to \$5,000,000,000,000,000</td> <td>AH=\$5,000,000,000,000,001 to \$10,000,000,000,000,000 AI=\$10,000,000,000,000,001 to \$50,000,000,000,000,000 AJ=\$50,000,000,000,000,001 to \$100,000,000,000,000,000</td> </tr> <tr> <td>3 Value Method Codes: (See Col. C2)</td> <td>Q=Appraisal R=Book Value</td> <td>S=Cost (real estate only) T=Other</td> <td>U=Assessment V=Estimated</td> <td>W=Cash/Market</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>										1 Income/Gain Codes: (See Col. B1 & D4)	A=\$1,000 or less B=\$15,001 to \$50,000 C=\$51,000 or less	D=\$1,001 to \$2,500 E=\$25,001 to \$100,000 F=\$101,001 to \$500,000	G=\$501,001 to \$1,000,000 H=\$1,000,001 to \$5,000,000 I=\$5,000,001 to \$10,000,000	J=\$10,000,001 to \$50,000,000 K=\$50,000,001 to \$100,000,000 L=\$100,000,001 to \$500,000,000	M=\$500,000,001 to \$1,000,000,000 N=\$1,000,000,001 to \$5,000,000,000 O=\$5,000,000,001 to \$10,000,000,000	P=\$10,000,000,001 to \$50,000,000,000 Q=\$50,000,000,001 to \$100,000,000,000 R=\$100,000,000,001 to \$500,000,000,000	S=\$500,000,000,001 to \$1,000,000,000,000 T=\$1,000,000,000,001 to \$5,000,000,000,000 U=\$5,000,000,000,001 to \$10,000,000,000,000	V=\$10,000,000,000,001 to \$50,000,000,000,000 W=\$50,000,000,000,001 to \$100,000,000,000,000 X=\$100,000,000,000,001 to \$500,000,000,000,000	Y=\$500,000,000,000,001 to \$1,000,000,000,000,000 Z=\$1,000,000,000,000,001 to \$5,000,000,000,000,000 AA=\$5,000,000,000,000,001 to \$10,000,000,000,000,000	2 Value Codes: (See Col. C1 & D3)	J=\$15,000 or less K=\$15,001 to \$50,000 L=\$50,001 to \$100,000	M=\$100,001 to \$500,000 N=\$500,001 to \$1,000,000 O=\$1,000,001 to \$5,000,000	P=\$5,000,001 to \$10,000,000 Q=\$10,000,001 to \$50,000,000 R=\$50,000,001 to \$100,000,000	S=\$100,000,001 to \$500,000,000 T=\$500,000,001 to \$1,000,000,000 U=\$1,000,000,001 to \$5,000,000,000	V=\$5,000,000,001 to \$10,000,000,000 W=\$10,000,000,001 to \$50,000,000,000 X=\$50,000,000,001 to \$100,000,000,000	Y=\$100,000,000,001 to \$500,000,000,000 Z=\$500,000,000,001 to \$1,000,000,000,000 AA=\$1,000,000,000,001 to \$5,000,000,000,000	AB=\$5,000,000,000,001 to \$10,000,000,000,000 AC=\$10,000,000,000,001 to \$50,000,000,000,000 AD=\$50,000,000,000,001 to \$100,000,000,000,000	AE=\$100,000,000,000,001 to \$500,000,000,000,000 AF=\$500,000,000,000,001 to \$1,000,000,000,000,000 AG=\$1,000,000,000,000,001 to \$5,000,000,000,000,000	AH=\$5,000,000,000,000,001 to \$10,000,000,000,000,000 AI=\$10,000,000,000,000,001 to \$50,000,000,000,000,000 AJ=\$50,000,000,000,000,001 to \$100,000,000,000,000,000	3 Value Method Codes: (See Col. C2)	Q=Appraisal R=Book Value	S=Cost (real estate only) T=Other	U=Assessment V=Estimated	W=Cash/Market					
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FINANCIAL DISCLOSURE REPORT (cont'd)

Date of Form Reporting

Date of Report

JACOBS, Dennis G.

MARCH 22, 1992

VII. INVESTMENTS AND TRUSTS - income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.) (Page 2)

A. Description of Assets (including trust assets) Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. 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) Int. Code* (A-E)	(2) Type (e.g., div., trust or int.)	(1) Value-Code* (J-P)	(2) Value Method-Code* (Q-W)	(1) Type (e.g., buy, sell, margin, redemption)	If not exempt from disclosure			
					(2) Date: Month Day	(3) Value-Code* (J-P)	(4) Gain-Code* (A-E)	(5) Identity of buyer/seller (if private transaction)	
☐ NONE (No reportable income, assets, or transactions)					EXEMPT			EXEMPT	
1 st Stock Mut. Fds: Fidelity (comb) (J)	B	div.	L	T					
2 nd Guaranteed Inc. Contract: John Hancock	E	int	N	T					
3 rd Stock Mut. Fd: Salomon Bros Inv. Fd	A	div	J	T					
4 th Stock Mut. Fd: Fidelity Inv.	L	div.	N	T					
5 th Stock Mut Fd: Ben firm retirement acct managed by: Shereen Wood & Assoc's	B	div.	J	T					
6 th Stock Mut Fd: Wabunby Pricus	B	div.	J	T					
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1 Income/Gain Codes: (See Col. XI & XI)	A-\$1,000 or less B-\$11,001 to \$50,000 C-\$51,001 to \$100,000 D-\$101,001 to \$500,000 E-\$501,001 to \$1,000,000 F-more than \$1,000,000	A-\$1,001 to \$2,500 B-\$2,501 to \$5,000 C-\$5,001 to \$10,000 D-\$10,001 to \$25,000 E-\$25,001 to \$50,000 F-\$50,001 to \$100,000 G-\$100,001 to \$1,000,000 H-cost (real estate only) I-Other	C-\$2,501 to \$5,000 D-\$5,001 to \$10,000 E-\$10,001 to \$25,000 F-\$25,001 to \$50,000 G-\$50,001 to \$100,000 H-more than \$1,000,000 I-Assessment J-Estimated	D-\$5,001 to \$10,000 E-more than \$10,000 F-\$100,001 to \$250,000 G-\$250,001 to \$500,000 H-\$500,001 to \$1,000,000 I-\$1,000,001 to \$5,000,000 J-\$5,000,001 to \$10,000,000 K-\$10,000,001 to \$50,000,000 L-\$50,000,001 to \$100,000,000 M-more than \$100,000,000
2 Value Codes: (See Col. XI & XII)	A-\$1,000 or less B-\$11,001 to \$50,000 C-\$51,001 to \$100,000 D-\$101,001 to \$500,000 E-\$501,001 to \$1,000,000 F-more than \$1,000,000	A-\$1,001 to \$2,500 B-\$2,501 to \$5,000 C-\$5,001 to \$10,000 D-\$10,001 to \$25,000 E-\$25,001 to \$50,000 F-\$50,001 to \$100,000 G-\$100,001 to \$1,000,000 H-cost (real estate only) I-Other	C-\$2,501 to \$5,000 D-\$5,001 to \$10,000 E-\$10,001 to \$25,000 F-\$25,001 to \$50,000 G-\$50,001 to \$100,000 H-more than \$1,000,000 I-Assessment J-Estimated	D-\$5,001 to \$10,000 E-more than \$10,000 F-\$100,001 to \$250,000 G-\$250,001 to \$500,000 H-\$500,001 to \$1,000,000 I-\$1,000,001 to \$5,000,000 J-\$5,000,001 to \$10,000,000 K-\$10,000,001 to \$50,000,000 L-\$50,000,001 to \$100,000,000 M-more than \$100,000,000
3 Value Method Codes: (See Col. XII)	A-\$1,000 or less B-\$11,001 to \$50,000 C-\$51,001 to \$100,000 D-\$101,001 to \$500,000 E-\$501,001 to \$1,000,000 F-more than \$1,000,000	A-\$1,001 to \$2,500 B-\$2,501 to \$5,000 C-\$5,001 to \$10,000 D-\$10,001 to \$25,000 E-\$25,001 to \$50,000 F-\$50,001 to \$100,000 G-\$100,001 to \$1,000,000 H-cost (real estate only) I-Other	C-\$2,501 to \$5,000 D-\$5,001 to \$10,000 E-\$10,001 to \$25,000 F-\$25,001 to \$50,000 G-\$50,001 to \$100,000 H-more than \$1,000,000 I-Assessment J-Estimated	D-\$5,001 to \$10,000 E-more than \$10,000 F-\$100,001 to \$250,000 G-\$250,001 to \$500,000 H-\$500,001 to \$1,000,000 I-\$1,000,001 to \$5,000,000 J-\$5,000,001 to \$10,000,000 K-\$10,000,001 to \$50,000,000 L-\$50,000,001 to \$100,000,000 M-more than \$100,000,000

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

JACOBS, DENNIS G.

Date of Report

MARCH 22, 1992

VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate part of Report.)

NONE.

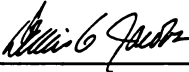
IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.A. app. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature

Date March 22, 1992

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C.A. APP. 6, § 104, AND 18 U.S.C. § 1001.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544