

FINANCIAL DISCLOSURE REPORT
Nomination Report

1. Person Reporting (Last name, first, middle initial) Parker, Jr., Barrington D.		2. Court or Organization U.S. Court of Appeals, 2nd Cir	3. Date of Report 05/14/2001
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Nominee)		5. Report Type (check type) X Nomination, Date 05/09/2001 Initial Annual Final	6. Reporting Period 01/01/2000 to 05/11/2001
7. Chambers or Office Address U.S. District Court 300 Quarropas Street White Plains, NY 10601		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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 the last page.			

I. POSITIONS (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)	
1 Trustee	The Yale Corporation
2 Trustee	The Governance Institute
3 Member	Council on Foreign Relations

II. AGREEMENTS (Reporting individual only; see pp.14-16 of Instructions.)

DATE	PARTIES AND TERMS
☒ NONE (No reportable agreements.)	
1	
2	
3	

III. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1		
2 2000-01	Self-Employed	
3		
4		

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children. See pp. 25-28 of Instructions.)

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements.)	
1	Exempt	
2		
3		
4		
5		
6		
7		

V. GIFTS
(Includes those to spouse and dependent children. See pp. 29-32 of Instructions.)

	SOURCE	DESCRIPTION	VALUE
☐	NONE (No such reportable gifts.)		
1	Exempt		
2			
3			

VI. LIABILITIES
(Includes those of spouse and dependent children. See pp. 33-35 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE COD
☒	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			
6			

* VAL CODES: I=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$100,000 M=\$100,001-\$250,000 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=\$50,000,001 or more

(Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

VII. Page 1 INVESTMENTS and TRUSTS-- income, value, transactions

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure.	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value: Code (J-P)	(4) Gain: Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 Brokerage Acct. #1									
2 Abbott Laboratories		None							
3 AT&T Corp.		None							
4 Berkshire Hathaway		None							
5 C R Bard Inc.		None							
6 Fannie Mae		None							
7 H&R Block		None							
8 Harcourt General		None							
9 Hershey Foods Corp.		None							
10 Industrial Bank of Washington		None	J	T					
11 Kimberly Clark		None							
12 McDonalds Inc.		None							
13 NTL Inc.		None							
14 On Line Resources		None	J	T					
15 Wells Fargo & Co.		None							
16									
17 Brokerage Acct. #2 (IRA)									

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4)	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=\$5,000,001 or more	E=\$15,001-\$50,000
2 Val Codes: J=\$15,000 or less (Col. C1, D3)	K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$500,000,001 or more
3 Val Mth Codes: Q=Appraisal (Col. C2)	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

VII. Page 2 INVESTMENTS and TRUSTS— income, value, transactions

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4)		B=\$1,001-\$2,500 F=\$50,001-\$100,000	C=\$2,501-\$5,000 G=\$100,001-\$1,000,000	D=\$5,001-\$15,000 H1=\$1,000,001-\$5,000,000	E=\$15,001-\$50,000 H2=\$5,000,001 or more
2 Val Codes: J=\$15,000 or less (Col. C1, D3)		K=\$15,001-\$50,000 O=\$500,001-\$1,000,000	L=\$50,001-\$100,000 P1=\$1,000,001-\$5,000,000	M=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000	N=\$250,001-\$500,000 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more
3 Val Mth Codes: Q=Appraisal (Col. C2)		R=Cost (real estate only) U=Book Value V=Other	S=Assessment W=Estimated	T=Cash/Market	

VII. Page 3 INVESTMENTS and TRUSTS— income, value, transactions

A. Description of Assets (including trust assets)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure.		(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
							(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)										
35	Comcast Corp. Cl. A		None							
36	Dell Computer Corp.		None							
37	Diageo PLC-Sponsored ADR		None							
38	Dynegy Inc.		None							
39	El Paso Energy Corp. (Cash in lieu of)	A	Dividend	J	T					
40	Eli Lilly & Co.		None							
41	EMC Corp.		None							
42	Enron Corp.		None							
43	EOG Res Inc.		None							
44	Exelon Corp.		None							
45	XL Ltd.Cl. A		None							
46	Federal Natl Mtg Assn. (AKA Fannie Mae)		None							
47	Firsthand FDS Technology Leaders FD		None	J	T					
48	Firsthand FDS Technology Leaders FD		None	J	T					
49	Firsthand FDS E-Commerce FD		None	J	T					
50	Firsthand FDS Technology Value Fund	A	Dividend	J	T					
51	Firsthand FDS Communications FD		None	J	T					
1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4) 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=\$5,000,001 or more		E=\$15,001-\$50,000		
Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000		K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000		L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000		M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000		N=\$250,001-\$500,000 P4=\$50,000,001 or more		
3 Val Mth Codes: Q=Appraisal (Col. C2) U=Book Value		R=Cost (real estate only) V=Other		S=Assessment W=Estimated		T=Cash/Market				

VII. Page 4 INVESTMENTS and TRUSTS-- income, value, transactions

(Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A. Description of Assets (including trust assets)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure.		(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
							(2) Date: Month- Day	(3) Value: Code (J-P)	(4) Gain: Code (A-H)	(5) Identity of buyer/seller (if private transaction)
NONE (No reportable income, assets, or transactions.)										
52	General Motors Corp.		None							
53	General Electric Corp.		None							
54	Hewlett Packard		None							
55	Intel Corp.		None							
56	JP Morgan & Chase (formerly Chase Manhattan Corp.)		None							
57	Johnson & Johnson		None							
58	Lucent Technologies		None							
59	Marsh & McLennan Com. Inc.		None							
60	MBIA Inc.		None							
61	McDonalds Corp.		None							
62	McGraw Hill Companies		None							
63	MCI Worldcom Inc. (now Worldcom)		None							
64	Mediaone Group Inc.		None							
65	Merck & Co. Inc.		None							
66	Microsoft Corp.		None							
67	Minnesota Mining & Mfg. Co.		None							
68	Monsanto Co.		None							
1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4) 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=\$5,000,001 or more		E=\$15,001-\$50,000		
2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000		K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000		L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000		M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000		N=\$250,001-\$500,000 P4=\$50,000,001 or more		
3 Val Mth Codes: Q=Appraisal (Col. C2) U=Book Value		R=Cost (real estate only) V=Other		S=Assessment W=Estimated		T=Cash/Market				

VII. Page 7 INVESTMENTS and TRUSTS— income, value, transactions *(Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)*

A Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
103 Dell Computer Corp.		None							
104 Dollar General Corp.	A	Dividend	J	T					
105 Eli Lilly & Co.	A	Dividend	K	T					
106 EMC Corp.-Mass		None	J	T					
107 First Data Corp.	A	Dividend	K	T					
108 Gateway Inc.		None							
109 General Electric Co.	A	Dividend	J	T					
110 IMS Health Inc.		None							
111 Intel Corp.	A	Dividend	K	T					
112 Johnson & Johnson	A	Dividend	K	T					
113 MC Data Corp.		None	J	T					
114 McDonalds Corp.		None							
115 Merck & Co. Inc.	A	Dividend	K	T					
116 Microsoft Corp.		None	K	T					
117 National City Corp.		None							
118 New York Times Cl. A	A	Dividend	K	T					
119 Nokia Corp.	A	Dividend	K	T					

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4)	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=\$5,000,001 or more	E=\$15,001-\$50,000
2 Val Codes: J=\$15,000 or less (Col. C1, D3)	O=\$500,001-\$1,000,000	K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$50,000,001 or more
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							(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
NONE (No reportable income, assets, or transactions.)										
120	Northern Trust Corp.	A	Dividend	K	T					
121	Pfizer Inc.	A	Dividend	K	T					
122	Safeway Inc.		None	K	T					
123	Viacom Inc.		None	J	T					
124	Walgreen Co.	A	Dividend	K	T					
125	WM Wrigley Jr. Co.	A	Dividend	J	T					
126	Xlinix Inc.		None							
127										
128	Brokerage Acct. #4 (IRA)									
129	Mutual Fund	D	Dividend	O	T					
130										
131	Other Assets									
132	Black Books Galore		None	K	W					
133										
134										
135										
136										

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4) 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=\$5,000,001 or more		E=\$15,001-\$50,000	
2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000		K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000		L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000		M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000		N=\$250,001-\$500,000 P4=\$50,000,001 or more	
3 Val Mth Codes: Q=Appraisal (Col. C2) U=Book Value		R=Cost (real estate only) V=Other		S=Assessment W=Estimated		T=Cash/Market			

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.

(Indicate part of report.)

'1 brokerage accounts are common stock transactions.

All securities transactions reported were transacted in managed accounts in which I played no role in selection (purchase or sale) of any security.

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		1	000	Notes payable to banks—secured			
U.S. Government securities—add schedule				Notes payable to banks—unsecured			
Listed securities—add schedule				Notes payable to relatives			
Unlisted securities—add schedule		25	000	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid tax and interest			
Doubtful				Real estate mortgages payable—add schedule		350	000
Real estate owned—add schedule (PERSONAL RESIDENCE)		1	000 000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts—itemize:			
Autos and other personal property							
Cash value—life insurance							
Other assets—itemize: IRA—ROLLOVER		1	150 000				
MISC. PERSONAL PROPERTY			100 000				
				Total liabilities		350	000
				Net Worth		1	926 000
Total Assets		2	276 000	Total liabilities and net worth		2	276 000
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, cosigner or guarantor NO				Are any assets pledged? (Add schedule.) NO			
On leases or contracts NO				Are you defendant in any suits or legal actions? NO			
Legal Claims NONE				Have you ever taken bankruptcy? NO			
Provision for Federal Income Tax ALL TAXES CURRENT							
Other special debt NONE							