

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) Jacobs, Dennis	2. Court or Organization Court of Appeals, 2d Circuit	3. Date of Report 08/05/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address U.S. Courthouse 40 Foley Square, Room 2301 New York, NY 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director and Vice-President	Residential Cooperative
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Jacobs, Dennis

Date of Report

08/05/2020

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.)*

DATE

SOURCE AND TYPE

INCOME

(yours, not spouse's)

1.		
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.)*

DATE

SOURCE AND TYPE

1.		
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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.	Cornell Law School	10/01/19 - 10/03/19	Ithaca, New York	Teaching	Transportation, Lodging, Food
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Jacobs, Dennis	08/05/2020

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.		

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. Muni Bond: Fort Bend Tex Flood Ctrl Water Supply 10/1/10	A	Interest			Redeemed	03/01/19	K		
2. Muni Bond: Ohio St. Rfdg Common Schs. Ser C 10/8/10	A	Interest	K	T					
3. Muni Bond: N. Carolina St. Grant Antic Rev. Vehicle 8/5/09	A	Interest			Redeemed	03/01/19	J		
4. Muni Bond: Ohio St. Univ. Gen Rcpts Rfdg Ser D 10/6/10	A	Interest	K	T					
5. Muni Bond: Cypress-Fairbanks Tex Indpt School Dist 2/1/12	B	Interest	K	T					
6. Muni Bond: Wash St Univ Revs Gen B/E 2/23/12	B	Interest	K	T					
7. Muni Bond: Columbia SC Wtrwks & SWR 3/8/12	B	Interest	K	T					
8. Muni Bond: Orlando FLA Utils Commn Util Sys Rev Ref-C	A	Interest	K	T					
9. Muni Bond: Charlotte NC Genl Oblig Ref-A	B	Interest	K	T					
10. Muni Bond: Harbor Beach, MI Comm. Sch. Dist. Ref. 5/1/2026	A	Interest	J	T					
11. Muni Bond: Temple, TX Genl. Oblig Ref. & Impt. Genl. Oblig. 8/1/19	A	Interest			Redeemed	08/01/19	J		
12. Muni Bond: City of Chicago O'Hare Intl. Airp. Non Amt. Rev Ref B	A	Interest	K	T					
13. Muni Fund: Blackrock Strat Muni Opport 1 (MAMTX)	E	Dividend	O	T					
14. Money Market: Morgan Stanley Bank, NA	C	Int./Div.	M	T					See Part VIII
15. Muni Bond: Central Dauphin PA Sch Dist 02/01/28	A	Interest	J	T					
16. Muni Bond: Lancaster Cnty PA Genl Oblig Ref A 5/1/27	A	Interest	J	T					
17. Muni Bond: Lancaster Cnty PA Genl Oblig Ref A 5/21/28	A	Interest	K	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

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Jacobs, Dennis

Date of Report

08/05/2020

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. Muni Bond: Bd Regents Tx St Univ Fin Rev Ref A 01/01/17	A	Interest	J	T					
19. Muni Bond: Kane & DeKalb Cntys, Ill.Comm. Sch. Dist. 302	A	Interest	K	T					
20. Muni Bond: Deschutes Cnty Ore Admin Sch Dist No 1	A	Interest	J	T					
21. Muni Bond: Georgetown Tex Genl Oblig Ref 8/15/24	A	Interest	J	T					
22. Muni Bond: Georgetown Tex Genl Oblig Ref 08/15/27	A	Interest	J	T					
23. Muni Bond: Univ NC Charlotte Rev-A 10/01/30	A	Interest	K	T					
24. Muni Bond: Pike Twp Ind Multi-Sch Bldg Corp 1/15/22	A	Interest	J	T					
25. Muni Bond: Virginia Commth Transn Brd Fe D Trans Grnt 1/3/18	A	Interest	K	T					
26. Muni Bond: Tillamook & Yamhill Cntys Sch Dist No 101 Ser B	A	Interest	K	T					
27. Muni Bond: NY SR Dorm Auth Sales TA 3/15/31	A	Interest	J	T	Buy	01/07/19	J		
28. Muni Bond: Dover PA Area Sch Dist 4/1/31	A	Interest	K	T	Buy	03/05/19	K		
29. Muni Bond: Irving Tex Independent Sch Dist 2/15/26	A	Interest	J	T	Buy	07/03/19	J		
30. Muni Bond: Trinity River Auth Tex Regl Wa 8/1/22		None	J	T	Buy	08/06/19	J		
31. ETF: SPDR Ser Trust BBG BCL	B	Dividend	L	T					
32. ETF: SPDR Ser Trust BBG BCL	A	Dividend	L	T	Buy	04/23/19	L		
33. ETF: SPDR Ser Trust BBG BCL 1-3	A	Dividend	L	T	Buy	04/25/19	L		
34.					Sold	08/28/19	L		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Jacobs, Dennis

Date of Report

08/05/2020

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)
35. Checking: Chase Manhattan Bank NYC	A	Interest	K	T					
36. Fidelity Cash Reserves Account	A	Interest	J	T					
37. BNY Mellon Midcap Index Investor (formerly Dreyfus Midcap Index Fund)	B	Dividend	M	T				E	See Part VIII
38. Fidelity Contrafund	C	Distribution	N	T	Sold (part)	11/07/19	L	D	
39. Fidelity Low Priced Stock	D	Dividend			Sold	05/23/19	N		
40. SPDR S&P 500 ETF Trust Unit 1 Ser 1 S&P	C	Dividend	N	T					
41. Fidelity Total Mkt Indx Fid Premium Class	D	Dividend	N	T					
42. Blackrock Strategic Muni Opportunity Fund 1	D	Dividend	L	T	Sold (part)	09/03/19	N		
43. Fidelity 500 Index Fund Premium Class	E	Dividend	P1	T	Sold (part)	11/07/19	L	B	
44. Glenmede Large Cap Core Institutional	C	Dividend	N	T	Sold (part)	11/07/19	L	D	
45. Fidelity MMKT Premium Class	C	Dividend	M	T					
46. Spdr Ser TR Spdr Bloomberg (BIL)	D	Dividend	O	T	Buy (add'l)	02/05/19	L		
47.					Buy (add'l)	11/07/19	M		
48. iShares Core S&P Total US Stock Market	D	Dividend	N	T	Buy	05/23/19	N		
49. Goldman Sachs Dynam Muni Income Instl	B	Dividend	N	T	Buy	09/03/19	N		
50. Cref Stock R3		None	M	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Jacobs, Dennis

Date of Report

08/05/2020

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

Part VII, Line 14: Name change of bank from Morgan Stanley US Govt Money Market Trust to Morgan Stanley Bank, N.A. as of July 1, 2018.

Part VII Line 37: Name change of fund from Dreyfus Midcap Index Fund to BNY Mellon Midcap Index Investor on June 3, 2019.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Jacobs, Dennis

Date of Report

08/05/2020

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/ Dennis Jacobs**

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