

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) Cabranes, Jose A.	2. Court or Organization U.S. Court of Appeals	3. Date of Report 07/09/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	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 141 Church Street New Haven, CT 06510		
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. Trustee	William Nelson Cromwell Foundation, New York, NY
2. Member	Academic Advisory Committee of the Institute for Constitutional Studies, The George Washington University, Washington, DC
3. Note:	Note: No income of any kind was derived from any of the positions or services or activities noted above.
4.	
5.	

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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Name of Person Reporting

Cabranes, Jose A.

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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.		
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. 2019	University of Chicago Press (Royalties)
2. 2019	Thomson-West (Royalties)
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.	Historical Foundation of the Supreme Court of Puerto Rico	January 21-25, 2019	San Juan, PR	Spouse and I participated in academic programs	Meals, cost of transportation to and from San Juan, PR, ground transportation, and lodging for me and my spouse
2.	William Nelson Cromwell Foundation	October 7, 2019	New York, NY	To attend annual business dinner meeting	Meal and transportation from New Haven, CT to New York, NY, and return
3.	American Council of Trustees and Alumni	October 17-19, 2019	Washington, DC	To accept the Philip Merrill Award for Outstanding Contributions to Liberal Arts Edu.	Meals, cost of transportation to and from Washington, DC, ground transportation and lodging for me, my spouse and family

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4.	Yale University	Various dates throughout the year (see Part VIII for explanation)	New Haven, CT	To attend or participate in varied University academic and social functions	Meals and refreshments as spouse of tenured faculty member and/or as a former University Trustee
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.	Jay Vlock and Gail Brekke (personal hospitality)	Tickets for two to baseball game and luncheon at Yankee Stadium, NY (June 11, 2019)	\$500.00
2.	Jay Vlock and Gail Brekke (personal hospitality)	Tickets for two to baseball game and luncheon at Yankee Stadium, NY (Sept. 19, 2019)	\$500.00
3.	Covington & Burling, Washington, DC	Pro Bono legal advice to the filer's spouse regarding her university employment	\$122,905.50
4.	Hugh F. Keefe and Tara Knight of the New Haven, CT Bar	Pro Bono legal advice to the filer's spouse regarding her university employment	\$15,000.00
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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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. TIAA BANK BROKERAGE SWEEP ACCT (X)	A	Interest	K	T					
2. BERNSTEIN DIVERSIFIED (SDNPX)	A	Dividend	K	T	Sold (part)	04/23/19	M		
3. FIDELITY SUMMER STR TR NEW-NEW MKTS INC 1 (FGZMX)	D	Dividend	J	T	Buy	01/16/19	J		
4.	C	Dividend	J	T	Buy	01/17/19	J		
5.	B	Dividend	J	T	Buy	02/14/19	J		
6.	E	Dividend			Sold	04/23/19	K		
7. FIDELITY ADVISOR EMERGING MARKETS INCOME FUND CLASS I (FMKIX)	B	Dividend	K	T					
8. FRANKLIN HIGH YIELD TAX FREE INCOME FUND ADVISOR CLASS (FHYVX)	C	Dividend	L	T					
9. T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE (PRSMX)	F	Dividend			Sold	04/23/19	L		
10. TIAA CREF EMERGING MARKETS EQUITY INDEX FUND INSTL. CLASS (TEQLX)	F	Dividend			Sold	02/12/19	L		
11. THORNBURG INTERMED MUNICIPAL EQUITY INST (THMIX)	F	Dividend			Sold	04/23/19	L		
12. WELLS FARGO ULTRA SHORT TERM MUNI INCOME FD CL I (SMAIX)	B	Dividend	K	T	Sold (part)	04/23/19	M		
13. ISHARES TR MSCI EAFE ETF (EFA)	D	Dividend	J	T	Buy	01/15/19	J		
14.	B	Dividend	J	T	Buy	02/15/19	J		
15.	G	Dividend			Sold	04/24/19	M		
16. ISHARES TR RUSSELL MID-CAP VALUE ETF (IWS)	C	Dividend	M	T	Buy	03/29/19	J		

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	

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)
17.	B	Dividend	J	T	Buy	04/01/19	J		
18. ISHARES TR RUSSELL MID-CAP GROWTH ETF (IWP)	A	Dividend	L	T	Buy	04/24/19	K		
19. ISHARES TR-JPMORGAN USD EMG (EMB)	D	Dividend			Sold	01/17/19	J		
20. ISHARES TR RUSSELL 1000 VALUE ETF (IWD)	D	Dividend	M	T	Sold (part)	04/24/19	L		
21. ISHARES TR RUSSELL 2000 VALUE ETF(IWN)	A	Dividend	K	T	Sold (part)	04/24/19	K		
22. ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)	B	Dividend	K	T	Sold (part)	04/24/19	K		
23. ISHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	B	Dividend	L	T					
24. SPDR SER TR DOW JONES REIT ETF (RWR)	A	Dividend			Sold	04/24/19	K		
25. Nuveen High Yield Municipal Bond (NHMRX)	B	Int./Div.			Sold	05/07/19	L		
26. TIAA-CREF ANNUITY (fixed, non-variable)	C	Int./Div.	L	T					
27. TIAA-CREF PENSION (H)									
28. -TIAA Traditional	F	Int./Div.	P1	T					
29. -T-C Intl Eq.Inst (TIEEX)	A	Int./Div.	K	T					
30. -TIAA Real Estate (QREARX)	B	Int./Div.	M	T					
31. -T-C Lifecycle 2015-Inst (TCNIX)	A	Int./Div.	J	T					
32. TIAA-CREF ROTH IRA (H)									
33. -TIAA-CREF REAL ESTATE MUTUAL FUND	B	Int./Div.	M	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.)

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34. VANGUARD TAX MANAGED INTL FD- TRSE DEV MKT ETF (VEA)	D	Dividend			Sold	01/15/19	J		
35. CITIZENS BANK ACCOUNTS	A	Interest	K	T					
36. VANGUARD LIFE STRATEGY CONSERVATIVE Portfolio (VSCGX)	C	Dividend	M	T					
37.	D	Dividend	J	T	Sold (part)	01/10/19	J		
38.	E	Dividend	K	T	Sold (part)	04/03/19	K		
39.	E	Dividend	K	T	Sold (part)	12/20/19	K		
40. VANGUARD BROKERAGE ACCOUNT (H)									
41. - VBT LX	A	Dividend	J	T					
42. - VTABX	A	Dividend	J	T					
43. - VTIAX	A	Dividend	J	T					
44. -VTSAX	A	Dividend	J	T					
45. Ishares Inc Core MSCI Emerging Mkts ETF (IEMG)	C	Dividend	L	T	Buy	02/13/19	L		
46.	B	Dividend	J	T	Buy	03/27/19	J		
47.	B	Dividend	J	T	Buy	03/28/19	J		
48.	B	Dividend	J	T	Buy	03/29/19	J		
49.	B	Dividend	J	T	Buy	04/01/19	J		
50.	E	Dividend	K	T	Buy	04/24/19	K		

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
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51. Mainstay MaKay Tax Free Bond Fund Class I (MTBIX)	C	Dividend	N	T	Buy	04/23/19	M		
52.	E	Dividend	K	T	Buy	04/24/19	K		
53.	D	Dividend	J	T	Buy	05/07/19	J		
54.	C	Dividend	J	T	Buy	05/08/19	J		
55.	B	Dividend	J	T	Buy	06/05/19	J		
56.	D	Dividend	J	T	Buy	06/25/19	J		
57. Wells Fargo Municipal Bond Fund Institutional Class (WMBIX)	C	Dividend	N	T	Buy	04/23/19	N		
58. IShares TR Core MISCIEAFE ETF (IEFA)	D	Dividend	M	T	Buy	04/25/19	M		
59. TIAA-CREF Large Cap Growth Index Fund Institutional Class (TILIX)	D	Dividend	L	T	Buy	04/25/19	J		
60.	E	Dividend	K	T	Buy	05/07/19	K		
61.	A	Dividend	J	T	Buy	06/05/19	J		
62. TIAA-CREF Large Cap Value Index Fund Institutional Class (TILVX)	A	Dividend	J	T	Buy	05/15/19	J		
63.	A	Dividend			Sold (part)	05/20/19	J		
64.	A	Dividend			Sold	05/22/19	J		
65. IShares TR Russell 1000 Growth (IWF)	B	Dividend	M	T					

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

Part V. Gifts, Line 3:

Please note this amount reflects the value of Covington & Burling's services if billed at so-called standard rates. Costs and disbursements were paid out-of-pocket by my spouse.

Part IV, line 3: Spouse and reporting person have lived in the Yale University community for decades. As such, they attend various Yale University social functions throughout the year and incur no expenses for travel.

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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/ Jose A. Cabranes**

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
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Washington, D.C. 20544