

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) Leval, Pierre N.	2. Court or Organization U.S. Court of Appeals, 2nd Cir	3. Date of Report 08/06/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 40 Foley Square Rm 1901 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Council member - Emeritus	The American Law Institute
2. Trustee, Executor	Family members
3. Member - Photography Committee	Museum of Modern Art
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Leval, Pierre N.

Date of Report

08/06/2020

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.)*

<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. Jan-Dec.	State St. Cultural Inst. Pension Plan - pension
2. Jan. 2019	Blanchette H. Rockefeller Trust - fee
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.	American Law Institute	3/7/2019	Philadelphia, PA	Conference	Travel/hotel
2.	WIPO Master Dialogue on Intellectual Property	9/18/2019	Washington, D.C.	Lecture	Travel/hotel
3.	Fordham Law School London IP Roundtable	12/12/2019	London, England	Lecture	Travel/hotel
4.					
5.					

Name of Person Reporting	Date of Report
Leval, Pierre N.	08/06/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Leval, Pierre N.

Date of Report

08/06/2020

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)
1. Abbot Labs (common stock)()	E	Dividend	P1	T					
2. Abbvie Inc. (common stock) ()	E	Dividend	P1	T					
3. Exxon Mobil (common)	D	Dividend	N	T					
4. MRO	A	Dividend	J	T					
5. Daimler Chrysler (common)	A	Dividend	J	T					
6. FMC Money Mkt () (Dreyfus)	A	Interest	K	T					
7. Hershey (common)	C	Dividend	M	T					
8. Gen. American Inv. (common) (GAM)	E	Dividend	N	T					
9. Chase Bank (account)	A	Interest	J	T					
10. Chase Bank (account)		None	L	T					
11. Citibank account		None	J	T					
12. Art Works		None	M	W					
13. Chase bank account (trust)		None	J	T					
14. Vanguard GNMA Fixed Income Fund () (VFIJX)	B	Interest	M	T					
15. Vanguard GNMA Fixed Income Fund (trust) (VFIJX)	B	Interest	L	T					
16. FHKCX	A	Dividend	K	T					
17. FEMKX	A	Dividend	J	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 =\$250,000,001 - \$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) 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)
18. FXAIX (symbol changed from FUSVX)	D	Dividend	N	T					
19. FLGEX	A	Dividend	J	T					
20. HGOAX (symbol changed from HGOCX)	B	Dividend	K	T					
21. IHSAX	B	Dividend	K	T					
22. HGXAX (symbol changed from HNSAX)	A	Dividend	J	T					
23. IHOAX (symbol changed from HIOCX)	A	Dividend	J	T					
24. ITHAX (symbol changed from HCACX)	B	Dividend	K	T					
25. IGNAX (symbol changed from IGNCX)	A	Dividend	J	T					
26. VTRIX	A	Dividend	J	T					
27. FNYXX	A	Interest	J	T					
28. VDIGX	E	Dividend	O	T					
29. CENT Puget Sound 4.750 2/1/28	C	Interest	M	T					
30. Jacksonville 5.375 8/15/23	D	Interest	M	T					
31. Detroit Mich Sewer 5.250 7/1/24	B	Interest			Sold	09/09/19	K	B	
32. Guam Pwr Bond 5.0 10/1/26	B	Interest	K	T					
33. Guam Arpt Bond 5.00 10/1/23	B	Interest	L	T					
34. Guam Pwr 5.00 10/1/23	B	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

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)
35. Guam Pwr 5.00 10/1/24	D	Interest	M	T					
36. Guam Pwr 5.00 10/01/34	B	Interest	K	T					
37. Guam Pwr 5.00 10/01/30	D	Interest	N	T					
38. Monroe 5.75 bond 8/15/30	D	Interest	N	T					
39. Monroe 5.75 bond 2035 8/15/35	C	Interest	L	T					
40. E. Rochester 5.00 4/20/27	C	Interest	L	T					
41. Michigan Hosp. bond 5.25 5/15/26	B	Interest	K	T	Redeemed (part)	05/15/19	J		
42. Mississippi Dev. 6.75 12/1/33	D	Interest	M	T					
43. Mississippi Hosp. bond 5.00 8/1/22	A	Interest			Redeemed	01/03/19	K	A	
44. NY Dorm 6.25 8/15/34`	C	Interest			Redeemed	08/15/19	K		
45. NY Dorm 5.0 10/1/26	C	Interest	L	T					
46. NY Dorm 5.0 7/1/24	B	Interest	K	T					
47. NY Dorm 5.0 10/1/30	B	Interest	K	T					
48. NY Dorm 5.0 10/1/28	B	Interest	K	T					
49. NYS Dorm 5.00 10/01/32	B	Interest	L	T					
50. NYS Dorm 5.75 02/15/20	B	Interest			Redeemed	09/03/19	K	A	
51. NY Dorm 2.125 callable 7/1/21	B	Interest	L	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) 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)
52. NY HSG FIN 3.45 11/1/33	A	Interest	K	T	Buy	07/15/19	K		
53. NYS MTG 3.625 10/1/38	B	Interest	L	T	Buy	06/17/19	L		
54. Penn 2.50 callable 10/1/20	B	Interest			Sold	12/10/19	L	B	
55. PR 5.375 7/1/25	D	Interest	M	T					
56. PR 5.5 7/1/19	D	Interest			Sold	07/01/19	L		
57. PR HSG 5.125 12/1/27	D	Interest	M	T					
58. PR 4.65 12/01/23	C	Interest	M	T					
59. Puerto Rico bond 4.95 7/1/26	C	Interest	M	T					
60. Puerto Rico Comm. 5.5 7/1/20	B	Interest	K	T					
61. PR HSG 4.60 12/1/24	B	Interest	L	T					
62. Puerto Rico 5.25 7/1/22	C	Interest	L	T					
63. Suffolk 5.00 2/1/26	B	Interest	K	T					
64. Suffolk 5.00 10/15/23	C	Interest	M	T					
65. Virgin I bond 5.0 10/1/28	B	Interest	K	T					
66. Virgin I Pub Fin bond 4.0 10/1/22	B	Interest	J	T	Redeemed (part)	10/01/19	K		
67. Virgin I Pub Fin 5.0 10/1/27	C	Interest	M	T					
68. Virgin I Pub Fin 5.25 10/1/24	D	Interest	L	T	Redeemed (part)	10/01/19	J	A	

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) 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)
69. NY Util. Debt 5.0 12/15/32	B	Interest	K	T					
70. NY Util. Debt 5.0 12/15/36	B	Interest	K	T					
71. UTIL 5.00 12/15/29	C	Interest	M	T					
72. UTIL 5.00 12/15/30	B	Interest	L	T					
73. UTIL 5.00 12/15/27	C	Interest	M	T					
74. CENT Puget 4.75 2/1/28	B	Interest	L	T					
75. Guam Arpt. Bond 5.00 10/1/23	B	Interest	L	T					
76. Guam Pwr Bond 5.00 10/1/23	B	Interest	K	T					
77. Guam Pwr 5.00 10/1/24	C	Interest	M	T					
78. Monroe Cty 5.75 2035	D	Interest	M	T					
79. Monroe Bond 5.75 8/15/30	C	Interest	L	T					
80. Monroe 5.00 6/1/24	B	Interest	L	T					
81. NY Dorm 6.25 8/15/34	B	Interest			Redeemed	08/15/19	K		
82. NYS Dorm 5.0 10/1/26 -	B	Interest	L	T					
83. NYS Dorm 6.5 8/15/30	A	Interest			Redeemed	02/15/19	K		
84. NYS Dorm 5.0 7/1/24	B	Interest	K	T					
85. NY Dorm 5.00 3/15/31	B	Interest	L	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 9 of 12

Name of Person Reporting

Leval, Pierre N.

Date of Report

08/06/2020

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)	
86. NYS Dorm 5.75 02/15/20	B	Interest	K	T						
87. NYS Urban Bond 5.00 3/15/26	B	Interest	L	T						
88. NY Twy 5.0 1/1/33	B	Interest	K	T						
89. NYS MTG 3.00 10/1/31	A	Interest	K	T	Buy	08/20/19	K			
90. NYS MTG 3.650 10/1/37	A	Interest	K	T	Buy	07/19/19	K			
91. NYS MTG 3.80 4/1/45		None	K	T	Buy	12/06/19	K			
92. Penn 2.50 call 10/1/20	A	Interest	K	T						
93. Puerto Rico 4.95% 7/1/26 Bond	D	Interest	M	T						
94. P.R. HSG 5.125 12/1/27	C	Interest	L	T						
95. P.R. HSG 4.65 12/1/23	C	Interest	M	T	Buy (add'l)	02/15/19	K			
96. Puerto Rico Pub Fin 5.125 6/1/24	C	Interest	L	T						
97. PR 5.00 07/01/28	B	Interest	L	T						
98. Virgin I 5.0% 10/1/28 Bond	B	Interest	K	T						
99. Virgin I. 5.0% 10/1/30 Bond	C	Interest	L	T	Redeemed (part)	10/02/19	J			
100. Utility 5.00 12/15/27	C	Interest	L	T						
101. Utility Debt 5.00 12/15/30	B	Interest	K	T						
102. JPMorgan Tax Free Bond VANTX	A	Interest	K	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	

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)
103. VOO	B	Dividend	L	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 11 of 12

Name of Person Reporting	Date of Report
Leval, Pierre N.	08/06/2020

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Leval, Pierre N.

Date of Report

08/06/2020

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/ Pierre N. Leval**

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