

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) WALKER, JOHN M.	2. Court or Organization U.S. Court of Appeals for the Second Circuit	3. Date of Report 08/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2019 to 12/31/2019
7. Chambers or Office Address U.S. Court of Appeals 157 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. Director	Dwight D. Opperman Institute of Judicial Administration
2. Director	U.S. Association of Constitutional Law
3. Director	Friends of CEELI
4. Member	American Society of International Law, Judiciary Advisory Board
5. Director	Spencer Williams Foundation for Judicial Independence
6. Director	International Judicial Academy

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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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. 1/19-12/19	Teaching - Yale Law School	\$52,000.00
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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. CEELI Institute	5/24/2019 - 5/29/2019	Bratislava, Slovakia	Conference of Chief Justices of Central and Eastern Europe	1489
2. U.S. Courts	6/5/2019 - 6/7/2019	New Paltz, N.Y.	Second Circuit Judicial Conference	964
3. Aspen Institute	6/10/2019 - 6/13/2019	MacKinac Island, MI	Sixth Circuit Court of Appeals - Retreat	2359
4.				
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.		
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.		

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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)	(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. --COMMON STOCK--									
2. ALCON INC		None	J	T	Buy	06/18/19	J		
3. ALIBABA GROUP HLDG LTD		None	K	T	Buy	04/23/19	K		
4. ALLSTATE CORP	B	Dividend	L	T					
5. ALPHABET INC CL C		None	M	T					
6. AMERICAN INT'L GROUP	B	Dividend	L	T					
7. AMERICAN TOWER INC	C	Dividend	M	T					
8. AUTO ZONE INC		None	K	T					
9. BERKSHIRE HATHAWAY		None	L	T	Sold	02/26/19	L	E	
10. BROADCOM LIMITED	A	Dividend	J	T	Buy	12/17/19	J		
11. CARMAX		None	L	T					
12. CHARTER COMMUNICATIONS CL A		None	L	T					
13. CHEVRON CORP	B	Dividend	L	T	Buy (add'l)	03/11/19	J		
14. CROWN HOLDINGS		None	L	T					
15. DOLLAR TREE INC		None	L	T					
16. ENERGY TRANSFER PARTNERS LP	A	Dividend	J	T	Buy (add'l)	02/19/19	J		
17. ENSCO PLC SPONSORED ADR	A	Dividend	J	T	Buy (add'l)	03/22/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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NONE (No reportable income, assets, or transactions.)

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	(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. GLADSTONE COMM CORP	B	Dividend	K	T					
19. JP MORGAN CHASE	C	Dividend	M	T	Buy (add'l)	07/31/19	J		
20. LABORATORY CORP AMER HOLDINGS		None	K	T					
21. LOWES CO INC	C	Dividend	M	T	Buy (add'l)	05/08/19	J		
22. MARKEL CORPORATION		None	M	T					
23. MICROSOFT CORP	C	Dividend	N	T	Buy (add'l)	12/12/19	J		
24. NEOGEN CORP		None	K	T	Sold (part)	08/16/19	J	D	
25. NOKIA CORP		None			Buy	02/27/19	L		
26.					Sold	11/26/19	K		
27. NOVARTIS AG SPONSORED ADR	C	Dividend	M	T	Buy (add'l)	03/13/19	J		
28. ORACLE CORPORATION	B	Dividend	L	T	Buy (add'l)	10/24/19	J		
29. PEPSICO INC	B	Dividend	K	T	Buy (add'l)	06/28/19	J		
30. PHILIP MORRIS INTL INC COM	C	Dividend	L	T	Buy (add'l)	04/11/19	J		
31. ROSS STORES INC	A	Dividend	M	T					
32. ROYAL BANK CANADA	A	Dividend	K	T	Buy (add'l)	11/27/19	J		
33. SMUCKER JM & CO	B	Dividend	K	T	Buy (add'l)	06/03/19	J		
34. SUPER MICRO COMPUTER INC		None	K	T					

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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	
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35. TAIWAN SEMICONDUCTOR	C	Dividend	L	T					
36. TENCENT HLDGS LTD ADR	A	Dividend	L	T	Buy (add'l)	04/22/19	K		
37. URSTADT BIDDLE PPT A	B	Dividend	K	T					
38. VALARIS PLC		None	J	T	Buy	07/12/19	J		
39. WALMART STORES INC	B	Dividend	L	T					
40.									
41. --CASH & EQUIVALENTS--									
42. PERSHING GOVT ACCOUNT	A	Interest	K	T					
43. DREYFUS TREASURY PRIME INV SH	B	Dividend	N	T					
44. --LIMITED PARTNERSHIP-									
45. BROOKFIELD INFRASTRUCTURE PARTNERS	B	Dividend	L	T					
46.									
47. --BANK ACCOUNTS--									
48. BANK OF AMERICA	A	Interest	J	T					
49. CITIBANK	A	Interest	J	T					
50. PEOPLES BANK	A	Interest	J	T					
51.									

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

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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/ JOHN M. WALKER**

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
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Washington, D.C. 20544