

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/14/2021
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 01/01/2020 to 12/31/2020
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. Honorary Fellow	Academia Puertorriquena de Jurisprudencia y Legislacion, San Juan, PR
4. Member	External Advisory Board, Colgate University's Center for Freedom and Western Civilization, Hamilton, NY
5. Member	Advisory Panel for Restatement of the Law Fourth-Property, American Law Institute, Philadelphia, PA
6. Member	Advisory Panel on the Chicago Principles on Freedom of Expression, American Council of Trustees and Alumni, Washington, DC
7. Note:	Note: No income of any kind was derived from any of the positions or services or activities noted above.
8.	
9.	

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.	

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Cabranes, Jose A.	05/14/2021

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.		
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. 2020	University of Chicago Press (Royalties)
2. 2020	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.				
2.				
3.				
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Covington & Burling, Washington, DC	Pro bono legal advice to the filer's spouse regarding her university employment	\$45,284.22
2.	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
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.			

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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. CITIZENS BANK ACCOUNTS	A	Interest	K	T					
2. TIAA BANK BROKERAGE SWEEP ACCT (X)	A	Interest	K	T					
3. BERNSTEIN DIVERSIFIED (SNDPX)	A	Dividend	K	T					
4. FIDELITY ADVISOR EMERGING MARKETS INCOME FUND CLASS I (FMKIX)	B	Dividend			Sold	12/17/18	J		
5. FRANKLIN HIGH YIELD TAX FREE INCOME FUND ADVISOR CLASS (FHYVX)	C	Dividend	L	T	Sold (part)	2/6/2017	K		
6.					Sold	4/5/2017	L		
7. WELLS FARGO ULTRA SHORT TERM MUNI INCOME FD CL I (SMAIX)	A	Dividend	K	T					
8. ISHARES TR RUSSELL MID-CAP VALUE ETF (IWS)	C	Dividend	M	T					
9. ISHARES TR RUSSELL MID-CAP GROWTH ETF (IWP)	A	Dividend	M	T					
10. ISHARES TR RUSSELL 1000 VALUE ETF (IWD)	C	Dividend	M	T					
11. ISHARES TR RUSSELL 2000 VALUE ETF(IWN)	A	Dividend	K	T					
12. ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	K	T					
13. ISHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	A	Dividend	L	T					
14. Ishares Inc Core MSCI Emerging Mkts ETF (IEMG)	B	Dividend	M	T					
15. Mainstay MaKay Tax Free Bond Fund Class I (MTBIX)	D	Dividend	N	T					
16. Wells Fargo Municipal Bond Fund Institutional Class (WMBIX)	D	Dividend	N	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	

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	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. IShares TR Core MISCIEAFE ETF (IEFA)	C	Dividend	N	T					
18. TIAA-CREF Large Cap Index Fund Institutional Class (TILIX)	B	Dividend	L	T					
19. IShares TR Russell 1000 Growth ETF (IWF)	B	Dividend	N	T					
20. TIAA-CREF ANNUITY (fixed, non-variable)	C	Int./Div.	L	T					
21. TIAA-CREF PENSION	E	Int./Div.	P1	T					
22. -TIAA Traditional	F	Int./Div.	P1	T					
23. -T-C Intl Eq.Inst (TIEEX)	A	Int./Div.	K	T					
24. -TIAA Real Estate (QREARX)	B	Int./Div.	M	T					
25. -T-C Lifecycle 2015-Inst (TCNIX)	A	Int./Div.	J	T					
26. TIAA-CREF ROTH IRA	B	Int./Div.	M	T					
27. -TIAA-CREF REAL ESTATE MUTUAL FUND									
28. VANGUARD LIFE STRATEGY CONSERVATIVE Portfolio (VSCGX)	C	Dividend	M	T					
29.					Buy	01/22/20	K		
30.					Sold (part)	01/22/20	K		
31.					Sold (part)	01/24/20	K		
32.					Sold (part)	07/16/20	L		
33.					Buy	09/01/20	L		

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34.	D	Dividend	M	T	Buy	10/29/20	K		
35. VANGUARD BROKERAGE ACCOUNT			K	T					
36. - VBT LX	A	Dividend	J	T					
37. - VTABX	A	Dividend	J	T					
38. - VTIA X	A	Dividend	J	T					
39. - VTSAX	A	Dividend	J	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

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

Part V. Gifts:

Lines 1, 2: Amounts reflect value of services if they had been billed at so-called standard rates. Client (spouse) paid out-of-pocket all costs and disbursements.

Part VII. Investments and Trusts:

Lines 4, 5: Reported inadvertently as assets held through 2019, but actually divested on the dates indicated here.

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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
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Washington, D.C. 20544