

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Leval, Pierre N.                                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals, 2nd Cir                                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>07/26/2021                     |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Senior Circuit Judge                                                          | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>1/1/2020<br>to<br>12/31/2020 |
| <b>7. Chambers or Office Address</b><br><br>40 Foley Square Rm 1901<br>New York, NY 10007                                                                                                                 |                                                                                                                                                                                                                                                                                          |                                                                |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                |

## 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.          |                          |

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Name of Person Reporting

Leval, Pierre N.

Date of Report

07/26/2021

## 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><br>(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. 2020 | 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. USC-University of Southern California | 2/07/2020    | Los Angeles, CA | Lecture        | Travel                        |
| 2.                                       |              |                 |                |                               |
| 3.                                       |              |                 |                |                               |
| 4.                                       |              |                 |                |                               |
| 5.                                       |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Leval, Pierre N.         | 07/26/2021     |

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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Name of Person Reporting

Leval, Pierre N.

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Abbot Labs (common stock)( )                                                                                            | E                                      | Dividend                               | P1                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 2. Abbvie Inc. (common stock) ( )                                                                                          | F                                      | Dividend                               | P1                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 3. Exxon Mobil (common)                                                                                                    | E                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 4. Vanguard Total Stock Mkt ETF VTI                                                                                        | A                                      | Dividend                               | M                                              | T                                  | Buy                                       | 12/08/20         | M                        |                         |                                                            |
| 5. MRO                                                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. Daimler Chrysler (common)                                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. FMC Money Mkt ( ) (Dreyfus)                                                                                             | B                                      | Interest                               |                                                |                                    | Redeemed                                  | 12/10/20         | M                        |                         |                                                            |
| 8. Hershey (common)                                                                                                        | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 9. Gen. American Inv. (common) (GAM)                                                                                       | E                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 10. Chase Bank (account)                                                                                                   | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. Chase Bank (account)                                                                                                   | A                                      | Interest                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. Citibank account                                                                                                       |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. Art Works                                                                                                              |                                        | None                                   | M                                              | W                                  |                                           |                  |                          |                         |                                                            |
| 14. Chase bank account (trust)                                                                                             |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 15. Vanguard GNMA Fixed Income Fund ( ) (VFIJX)                                                                            | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 16. Vanguard GNMA Fixed Income Fund (trust) (VFIJX)                                                                        | B                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 17. FHKCX                                                                                                                  | C                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. FEMKX                                                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 19. FXAIX (symbol changed from FUSVX)                                                                                      | D                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. FLGEX                                                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. HGOAX (symbol changed from HGOCX)                                                                                      | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 22. IHSAX                                                                                                                  | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. HGXAX (symbol changed from HNSAX)                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. IHOAX (symbol changed from HIOCX)                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 25. ITHAX (symbol changed from HCACX)                                                                                      | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 26. IGNAX (symbol changed from IGNCX)                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. VTRIX                                                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. FNYXX                                                                                                                  | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 29. VDIGX                                                                                                                  | D                                      | Dividend                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 30. CENT Puget Sound 4.750 2/1/28                                                                                          | C                                      | Interest                               |                                                |                                    | Sold                                      | 03/31/20         | M                        |                         |                                                            |
| 31. Jacksonville 5.375 8/15/23                                                                                             | D                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 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

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Name of Person Reporting

Leval, Pierre N.

Date of Report

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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.)

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Guam Pwr 5.00 10/1/24                                                                                                  | D                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. Guam Pwr 5.00 10/05/34                                                                                                 | 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<br>(part)                              | 05/15/20                | J                               |                                |                                                                   |
| 42. Mississippi Dev. 6.75 12/1/33                                                                                          | D                                      | Interest                                      | L                                              | T                                         | Sold<br>(part)                                  | 01/10/20                | K                               |                                |                                                                   |
| 43. NY Dorm 5.0 10/1/26                                                                                                    | C                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. NY Dorm 5.0 7/1/24                                                                                                     | B                                      | Interest                                      |                                                |                                           | Redeemed                                        | 10/30/20                | K                               |                                |                                                                   |
| 45. NY Dorm 5.0 7/1/24 (See * in Part VIII)                                                                                |                                        |                                               |                                                |                                           | Redeemed<br>(part)                              | 07/01/20                | J                               |                                |                                                                   |
| 46. NY Dorm 5.0 10/1/30                                                                                                    | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. NY Dorm 5.0 10/1/28                                                                                                    | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. NYS Dorm 5.00 10/01/32                                                                                                 | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. NY Dorm 2.125 7/1/41                                                                                                   | B                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. NY HSG FIN 3.45 11/1/33                                                                                                | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 51. NYS MTG 3.625 10/1/38                                                                                                  | C                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

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Date of Report

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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.)☐

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 52. PR 5.375 7/1/25                                                                                                        | D                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. PR HSG 5.125 12/1/27                                                                                                   | C                                      | Interest                                      |                                                |                                           | Redeemed                                        | 10/30/20                | M                               |                                |                                                                   |
| 54. PR 4.65 12/01/23                                                                                                       | C                                      | Interest                                      |                                                |                                           | Redeemed                                        | 10/30/20                | M                               |                                |                                                                   |
| 55. Puerto Rico bond 4.95 7/1/26                                                                                           | C                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. Puerto Rico Comm. 5.5 7/1/20                                                                                           | B                                      | Interest                                      |                                                |                                           | Redeemed                                        | 07/02/20                | K                               |                                |                                                                   |
| 57. PR HSG 4.60 12/1/24                                                                                                    | B                                      | Interest                                      |                                                |                                           | Redeemed                                        | 10/30/20                | L                               |                                |                                                                   |
| 58. Puerto Rico 5.25 7/1/22                                                                                                | C                                      | Interest                                      | L                                              | T                                         | Redeemed<br>(part)                              | 10/30/20                | J                               |                                |                                                                   |
| 59. Suffolk 5.00 2/1/26                                                                                                    | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. Suffolk 5.00 10/15/23                                                                                                  | C                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. Virgin I bond 5.0 10/1/28                                                                                              | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. Virgin I Pub Fin bond 4.0 10/1/22                                                                                      | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. Virgin I Pub Fin 5.0 10/1/27                                                                                           | C                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. Virgin I Pub Fin 5.25 10/1/24                                                                                          | C                                      | Interest                                      | L                                              | T                                         | Redeemed<br>(part)                              | 10/01/20                | J                               |                                |                                                                   |
| 65. NY Util. Debt 5.0 12/15/32                                                                                             | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. NY Util. Debt 5.0 12/15/36                                                                                             | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. UTIL 5.00 12/15/29                                                                                                     | C                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. UTIL 5.00 12/15/30                                                                                                     | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Leval, Pierre N.

Date of Report

07/26/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 69. UTIL 5.00 12/15/27                                                                                                     | C                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. CENT Puget 4.75 2/1/28                                                                                                 | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. Guam Arpt. Bond 5.00 10/1/23                                                                                           | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72. Guam Pwr Bond 5.00 10/1/23                                                                                             | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 73. Guam Pwr 5.00 10/1/24                                                                                                  | C                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 74. Monroe Cty 5.75 8/15/35                                                                                                | D                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75. Monroe Bond 5.75 8/15/30                                                                                               | C                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 76. Monroe 5.00 6/1/24                                                                                                     | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 77. NYC HS 3.050 11/1/49                                                                                                   |                                        | None                                          | L                                              | T                                         | Buy                                             | 12/17/20                | K                               |                                |                                                                   |
| 78. NY HSG 3.45 11/1/33                                                                                                    | A                                      | Interest                                      | K                                              | T                                         | Buy                                             | 03/05/20                | K                               |                                |                                                                   |
| 79. NY Dorm 5.00 3/15/35                                                                                                   | A                                      | Interest                                      | L                                              | T                                         | Buy                                             | 11/03/20                | L                               |                                |                                                                   |
| 80. NY Dorm 5.00 3/15/37                                                                                                   |                                        | None                                          | L                                              | T                                         | Buy                                             | 11/06/20                | L                               |                                |                                                                   |
| 81. NY Dorm 4.00 2/1/30                                                                                                    |                                        | None                                          | L                                              | T                                         | Buy                                             | 10/08/20                | L                               |                                |                                                                   |
| 82. Onondaga 5.00 5/1/27                                                                                                   | A                                      | Interest                                      | K                                              | T                                         | Buy                                             | 06/16/20                | K                               |                                |                                                                   |
| 83. NYS Dorm 5.0 10/1/26 -                                                                                                 | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 84. NYS Dorm 5.0 7/1/24                                                                                                    | B                                      | Interest                                      |                                                |                                           | Redeemed                                        | 10/30/20                | K                               |                                |                                                                   |
| 85. NYS Dorm 5.0 7/1/24 (See * in Part VIII)                                                                               |                                        |                                               |                                                |                                           | Redeemed (part)                                 | 07/01/20                | J                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Leval, Pierre N.

Date of Report

07/26/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. NY Dorm 5.00 3/15/31 <span style="background-color: #cccccc;">      </span>                                            | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 87. NYS Dorm <span style="background-color: #cccccc;">      </span> 5.75 02/15/20                                          | A                                      | Interest                                      |                                                |                                           | Sold                                            | 02/18/20                | K                               |                                |                                                                   |
| 88. NYS Urban Bond 5.00 3/15/26 <span style="background-color: #cccccc;">      </span>                                     | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 89. NY Twy 5.0 1/1/33                                                                                                      | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 90. NYS MTG 3.00 10/1/31                                                                                                   | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 91. NYS MTG 3.650 10/1/37                                                                                                  | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 92. NYS MTG 3.80 4/1/45                                                                                                    | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. Penn 2.50 call 10/1/20                                                                                                 | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 10/01/20                | K                               |                                |                                                                   |
| 94. Puerto Rico <span style="background-color: #cccccc;">      </span> 4.95% 7/1/26 Bond                                   | D                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 95. P.R. HSG 5.125 12/1/27 <span style="background-color: #cccccc;">      </span>                                          | C                                      | Interest                                      |                                                |                                           | Redeemed                                        | 10/30/20                | L                               |                                |                                                                   |
| 96. P.R. HSG 4.65 12/1/23 <span style="background-color: #cccccc;">      </span>                                           | C                                      | Interest                                      |                                                |                                           | Redeemed                                        | 10/30/20                | M                               |                                |                                                                   |
| 97. Puerto Rico Pub Fin <span style="background-color: #cccccc;">      </span> 5.125 6/1/24                                | C                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 98. PR <span style="background-color: #cccccc;">      </span> 5.00 07/01/28                                                | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 99. Virgin I 5.0% <span style="background-color: #cccccc;">      </span> 10/1/28 Bond`                                     | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 100. Virgin I. 5.0% <span style="background-color: #cccccc;">      </span> 10/1/30 Bond                                    | C                                      | Interest                                      | L                                              | T                                         | Redeemed<br>(part)                              | 10/01/20                | J                               |                                |                                                                   |
| 101. Utility 5.00 12/15/27 <span style="background-color: #cccccc;">      </span>                                          | C                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 102. Utility Debt <span style="background-color: #cccccc;">      </span> 5.00 12/15/30                                     | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. JPMorgan Tax Free Bond VANTX                                                                                          | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 104. VOO                                                                                                                   | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 105. House Woodstock NY                                                                                                    |                                        | None                                   |                                                |                                    | Sold                                      | 12/20/20         | O                        | G                       |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
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| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

**FINANCIAL DISCLOSURE REPORT**

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|                                                         |                                         |
|---------------------------------------------------------|-----------------------------------------|
| <b>Name of Person Reporting</b><br><br>Leval, Pierre N. | <b>Date of Report</b><br><br>07/26/2021 |
|---------------------------------------------------------|-----------------------------------------|

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

\* This line describes only a transaction. The first line identifying this security in Column A shows the information for Columns B and C.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Leval, Pierre N.

Date of Report

07/26/2021

## 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  
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One Columbus Circle, N.E.  
Washington, D.C. 20544