

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) Pooler, Rosemary S.	2. Court or Organization Second Circuit Court of Appeals	3. Date of Report 5/14/2021
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 P.O. Box 7395 100 South Clinton Street Syracuse, NY 13261-7395		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2020	Member - New York State Employees Retirement System
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. 2020	NYS Employees Retirement Sytem - pension	\$35,790.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☒

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒

NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
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.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Onondaga County, Syracuse, NY Property #1	D	Rent	M	W					
2. Onondaga County, Syracuse, NY Property #2	D	Rent	M	W					
3. Onondaga County, Syracuse, NY Property #3	D	Rent	M	W					
4. Onondaga County, Syracuse, NY Property #4	B	Rent	M	W					
5. Onondaga County, Syracuse, NY Property #5	D	Rent	M	W					
6. TIAA/CRFF Traditional Retirement	F	Interest	P1	T					
7. T. Rowe Price Mid-cap Growth Fund	E	Dividend	N	T					
8. T. Rowe Price-NY Tax Free Fund	A	Int./Div.	L	T					
9. T. Rowe Price-Health Sciences	C	Dividend	K	T					
10. Charles Schwab :									
11. - Exxon Mobil Corp	A	Dividend	J	T					
12. - Microsoft Corp.	D	Dividend	K	T	Sold (part)	03/16/20	J	C	
13.					Buy (add'l)	04/06/20	J		
14.					Sold (part)	11/02/20	J	C	
15. - Norfolk Southern Corp	D	Dividend	J	T					
16. - Walt Disney Co.	A	Dividend	J	T	Buy (add'l)	03/13/20	J		
17.					Sold (part)	04/03/20	J	B	

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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☐ 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				
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18.					Buy (add'l)	12/11/20	J		
19. Apple Inc.	E	Dividend	L	T					
20. Cigna	C	Dividend	J	T	Sold (part)	03/13/20	J	C	
21.					Buy (add'l)	11/02/20	K		
22. SAP SE	A	Dividend			Sold	10/26/20	J	C	
23. Royal Caribbean Cruise	A	Dividend			Sold	01/23/20	J	B	
24. Marriott Int.	A	Dividend			Buy (add'l)	03/13/20	J		
25.					Sold	04/03/20	J	A	
26. Qualcomm	A	Dividend	J	T	Sold (part)	03/13/20	J	A	
27.					Sold (part)	04/17/20	J	C	
28.					Sold	12/11/20	J	B	
29. Intuitive Surgical	B	Dividend	J	T	Buy (add'l)	04/16/20	J		
30.					Sold (part)	11/02/20	J	A	
31. Alphabet Inc. GOOGL	C	Dividend	J	T	Sold (part)	01/06/20	J	A	
32.					Sold (part)	11/02/20	J	A	
33. Fastenal Inc.	D	Dividend			Sold	03/13/20	J	A	
34. General Motors	A	Dividend	J	T	Buy (add'l)	03/13/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Sold (part)	05/01/20	J	A	
36.					Sold (part)	11/02/20	J	A	
37. Blackstone Grp	D	Dividend	J	T	Sold (part)	05/01/20	J	B	
38. Gilead Sciences	A	Dividend	J	T	Sold (part)	04/17/20	J	A	
39.					Buy (add'l)	11/02/20	J		
40. BP	A	Dividend			Sold	03/09/20	J	A	
41. Amazon	A	Dividend	J	T					
42. Costco	C	Dividend	J	T	Buy (add'l)	03/09/20	J		
43.					Buy (add'l)	04/06/20	J		
44. Fidelity Natl Info	A	Dividend			Buy (add'l)	04/13/20	J		
45.					Sold	11/02/20	J	A	
46. IShares Treasury Bond	A	Dividend			Buy	04/03/20	J		
47.					Sold	04/06/20	J		
48. IShares Short Maturity Bond	A	Dividend			Buy	01/06/20	J		
49.					Sold	04/03/20	J	A	
50. IShares Short Maturity Bond	A	Dividend			Buy	03/09/20	J		
51.					Sold	03/13/20	J	A	

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52. AON PLC	A	Dividend	J	T	Buy	04/29/20	J		
53.					Buy (add'l)	05/06/20	J		
54. ASML Holdings	C	Dividend	J	T	Buy	04/29/20	J		
55. Blackrock Short Maturity Bond	A	Dividend			Buy	03/09/20	J		
56.					Sold	03/13/20	J	A	
57. Cintas Corp	C	Dividend	J	T	Buy	03/09/20	J		
58.					Buy (add'l)	03/13/20	J		
59. Danaher Corp	B	Dividend	J	T	Buy	03/09/20	J		
60.					Buy (add'l)	04/06/20	J		
61. Honeywell Intl	A	Dividend	J	T	Buy	10/26/20	J		
62. Intuit Inc.	C	Dividend	J	T	Buy	03/13/20	J		
63. Parker-Hannifin Corp.	B	Dividend	J	T	Buy	10/26/20	J		
64. Salesforce Com	A	Dividend	J	T	Buy	11/02/20	J		
65. VISA	B	Dividend	J	T	Buy	03/13/20	J		
66.					Buy (add'l)	04/06/20	J		
67. Amphenol Corp.	B	Dividend			Buy	04/29/20	J		
68.					Sold	11/02/20	J	B	

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

VII. INVESTMENTS AND TRUSTS

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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/ Rosemary S. Pooler**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544