

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) Jacobs, Dennis	2. Court or Organization Court of Appeals, Second Circuit	3. Date of Report 08/04/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address U.S. Courthouse 40 Foley Square New York, NY 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director and Vice-President	Residential Cooperative
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.	
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.)

DATE

SOURCE AND TYPE

INCOME

(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.)

DATE

SOURCE AND TYPE

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.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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. Individual Assets (H)									
2. Chase Bank (cash)	A	Interest	M	T					
3. Account #1 (H)									
4. Fidelity Government (FDRXX) (cash equivalent)	A	Dividend	M	T					
5. Fidelity Total Market Index Fd (FSKAX)	D	Dividend	N	T					
6. Fidelity 500 Index Fd (FXAIX)	E	Dividend	O	T	Sold (part)	01/10/20	M	F	
7.					Buy (add'l)	05/14/20	M		
8.					Sold (part)	06/22/20	M	F	
9.					Sold (part)	10/16/20	L	E	
10.					Sold (part)	12/10/20	N	G	
11. Fidelity Contrafund (FCNTX)	E	Dividend	M	T					
12. Akre Focus Fd Indl (AKRIX)		None	N	T	Buy	12/10/20	N		
13. BNY Mellon Midcap Index Investor (PESPX)	A	Dividend			Sold	05/14/20	M		
14. Glenmede Large Cap Core Instl (GTLIX)	A	Dividend			Sold	05/14/20	M		
15. Blackrock Strategic Muni Opp (MAMTX)	A	Dividend			Sold	03/24/20	L		
16. Goldman Sachs Dynam Muni Income Instl (GSMTX)	B	Dividend			Sold	03/25/20	N		
17. Fidelity MMKT Premium Cl (FZDXX) (cash equivalent) (Y)									

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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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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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Ishares Core S&P Total US Stock ETF (ITOT)	D	Dividend	N	T					
19. Ishares Russell 1000 Growth ETF (IWF)	B	Dividend	M	T	Buy	05/15/20	M		
20. SPDR S&P 500 Trust (SPY)	C	Dividend	N	T					
21. Ishares Tr Ultr Blackrock Sh Trm Bd (ICSH)	A	Dividend	N	T	Buy	06/26/20	M		
22.					Buy (add'l)	08/21/20	L		
23. Ishares Tr 0-3 Mnth Treasury (SGOV)	A	Dividend	O	T	Buy	06/12/20	O		
24. JP Morgan Exchange Traded Fd (JPST)	B	Dividend	N	T	Buy	06/26/20	L		
25.					Buy (add'l)	08/21/20	L		
26. SPDR Series Trust Bloomberg (BIL)	B	Dividend			Buy (add'l)	01/13/20	M		
27.					Sold	06/12/20	O		
28. Account #2 (H)									
29. CREF Stock R3 (CREF Q089445-4)		None	M	T					
30. Account #3 (H)									
31. Morgan Stanley Bank (cash)	A	Interest	M	T					
32. Blackrock Strategic Muni Opp (MAMTX)	B	Dividend			Sold	03/23/20	N		
33. Account #4 (H)									
34. Morgan Stanley Bank (cash)	A	Interest	M	T					

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

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35. SPDR Series Trust Bloomberg (BIL)	A	Dividend			Sold	06/11/20	L		
36. Blackrock Strategic Muni Opp (MAMTX)	A	Dividend			Sold	03/23/20	M		
37. Ishares Tr 0-3 Mnth Treasury (SGOV)	A	Dividend	L	T	Buy	06/11/20	L		
38. Account #5 (H)									
39. Morgan Stanley Bank (cash)	A	Interest	M	T					
40. Ishares Tr 0-3 Mnth Treasury B (SGOV)	A	Dividend	K	T	Buy	06/11/20	K		
41. SPDR Series Trust Bloomberg (BIL)	A	Dividend			Sold	06/11/20	L		
42. Blackrock Strategic Muni Opp (MAMTX)	A	Dividend			Sold	03/23/20	M		
43. Account #6 (H)									
44. Morgan Stanley Bank (cash)	A	Int./Div.	J	T					
45. Deschutes Cnty Ore Administrative Sch Dist No 1 (250325ST5)	A	Dividend			Redeemed	06/15/20	J		
46. Ohio St Common Schools Genl Oblig Ref Ser-C (677521EN2)	A	Dividend			Redeemed	09/15/20	K		
47. Orlando Fla Utils Commn Utl Sys Rev Ref-C (686507ES9)	A	Dividend			Redeemed	10/01/20	J		
48. City of Chicago Chicago O'Hare Intl Airp Non-Amt Rev Ref-B (167593QX3)	A	Dividend	J	T					
49. Cypress-Fairbanks Tex Indpt Sch Dist Sch Bldg Ref Psf-Gtd (232760Y36)	B	Dividend	K	T					
50. Pike Twp Ind Multi-Sch Bldg Corp First Mrtge Rev (72130PCJ3)	A	Dividend	J	T					
51. Columbia S C Wtrwks & Swr Sys Rev Ref (198504UQ3)	B	Dividend	K	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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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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 NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Trinity River Auth Tex Regl Wastewtr Sys Id (89658HUP3)	A	Dividend	J	T					
53. Ohio St Univ Ben Rcpts Rev-D (677632ZD6)	A	Dividend	K	T					
54. Georgetown Tex Genl Oblig Ref (373029HX8)	A	Dividend	J	T					
55. Washington St Univ Revs (9400933P0)	B	Dividend	K	T					
56. Charlotte N C Genl Oblig Ref-A (161035FQ8)	B	Dividend	K	T					
57. Kane & De Kalib Cntys Ill Cmnty Unit Sch Dist No 301 (483764JZ0)	A	Dividend	J	T					
58. Irving Tex Indpt Sch Dist Ref-A Psf-Gtd Id (463813ZN8)	A	Dividend	J	T					
59. Harbor Beach Mich Cmnty Sch Dist Ref (411477CG5)	A	Dividend	J	T					
60. Central Dauphin Pa Sch Dist (153300XQ6)		None	J	T	Buy	11/11/20	J		
61. Lancaster Cnty Pa Genl Oblig Ref-A (514040P65)	A	Dividend	J	T					
62. Georgetown Tex Genl Oblig Ref (373029JB4)	A	Dividend	J	T					
63. Virignia Commnth Transn Brd Fe D Trasn Grnt Antic Nts (92778UCB4)	A	Dividend	K	T					
64. Central Dauphin Pa Sch Dist (153300YB8)		None	J	T	Buy	11/12/20	J		
65. Central Dauphin Pa Sch Dist (153300UB2)	A	Dividend			Sold (part)	11/11/20	J		
66.					Sold	11/12/20	J		
67. Lancaster Cnty Pa Genl Oblig Ref-A (514040P73)	A	Dividend	K	T					
68. Texas St Univ Sys Fing Ref-A (88278PYJ7)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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69. Tillamook & Yamhill Cntys Sch Dist No 101 Nestucca Vy Ser-B (886791CF7)	A	Dividend	K	T					
70. Pasco Cnty Fla Sch Brd Ctf's Partn Rev Ref-D (702528LX6)		None	J	T	Buy	06/18/20	J		
71. Univerisity N C Charlotte Rev-A (914716K20)	A	Dividend	K	T					
72. Georgia St Hsg & Fin Auth Rev (37353PFY0)		None	J	T	Buy	10/06/20	J		
73. New York St Dorm Auth Sales Tax St Supported Debt Rev-C (64990AJV8)	A	Dividend	J	T					
74. Dover PA Area Sch Dist (260358NW2)	B	Dividend	K	T					
75. North Carolina St St Ltd Oblig (65829QDP6)	A	Dividend	J	T	Buy	03/20/20	J		
76. New York N Y (64996QPU8)		None	J	T	Buy	10/08/20	J		
77. Austin Tex Pub Impt Genl Oblig Ref (052397ST4)		None	K	T	Buy	09/16/20	K		

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Parenthetical numbers in Part VII are CUSIP numbers.

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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/ Dennis Jacobs**

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