

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Lynch, Gerard E.	2. Court or Organization U.S. Court of Appeals, Second Circuit	3. Date of Report 05/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Professor of Law	Columbia University
2. Visiting Judicial Scholar	Northwestern University
3.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/15/2018

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 1/1/17	Columbia University	\$40,000.00
2. 3/9/2017	Northwestern University	\$10,000.00
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. 1/1/17	Flushing Hospital
2. 1/1/17	Private Practice of Psychotherapy
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. Federal Bar Council	Feb. 18-25	Palm Springs, CA	CLE Teaching	Travel, Lodging, Meals
2. Northwestern University	Mar. 7-9	Chicago, IL	Teaching	Travel, Lodging, Meals
3. American Law Institute	May 21-24	Washington, DC	Annual Meeting	Travel, Lodging, Meals
4. Federal Bar Association, Tampa Bay Chapter	June 28-30	Tampa, FL	CLE Teaching	Travel, Lodging, Meals
5. American Society of International Law	Nov. 17	Washington, DC	Judges' Advisory Board	Travel

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/15/2018

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/15/2018

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. Citibank Accounts	A	Interest	M	T					
2. Bank of America Money Market Account	A	Interest	L	T					
3. Amex Centurion Bank Money Market Account	A	Interest	M	T					
4. Bremer Bank NA Money Market Account	A	Interest	N	T					
5. Blackrock NY Muni Inc. Tr.	A	Dividend	K	T					
6. Gabelli Utility Trust PFD	A	Dividend	J	T					
7. Capital One Savings Account	A	Interest	J	T					
8. Allianz GI Con. Fd.	A	Dividend	J	T					
9. Voya Global Equity Fund	A	Dividend	J	T					
10. PIMCO NY Muni Inc. Fd.	A	Dividend	J	T					
11. Blackrock Global Allocation B	A	Dividend	J	T					
12. Triborough BTA Bonds	A	Interest	J	T	Redeemed (part)	01/03/17	L		
13. Eaton Vance Enhanced Equity Fd.	A	Dividend	J	T					
14. Eaton Vance Tax Managed Global Fund	A	Dividend	J	T					
15. Nuveen Municipal Value	A	Dividend	J	T					
16. PIMCO Income Strategy Fd.	A	Dividend	J	T					
17. Putnam Int'l. Gr. Fund	A	Dividend	J	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 –\$250,000,001 - \$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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/15/2018

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)

18. Alpine Total Dynamic Div. Fd.	A	Dividend	J	T					
19. Invesco Tax Free Int. Shares	A	Dividend	J	T					
20. Eaton Vance Floating Rate Inc. Tr.	A	Dividend	J	T					
21. Rochester Muni Fd. Cl A	B	Dividend	K	T					
22. Rydex Inverse Govt. Long Bond Strategy	A	Dividend	J	T					
23. Franklin Utilities	A	Dividend	J	T					
24. SunAmerica Focused Small Cap	A	Dividend	J	T					
25. TIAA Traditional RA	B	Dividend	O	T					
26. CREF Stock R3	A	Dividend	M	T					
27. Franklin Income Fd. C	A	Dividend	J	T					
28. Voya Risk Managed Nat. Res. Fd.	A	Dividend	J	T					
29. Nuveen Global Fd.	A	Dividend	J	T					
30. NYC Bonds	A	Interest	J	T	Redeemed (part)	08/01/17	J		
31. NYS Dorm Auth. Bonds	A	Interest			Redeemed	02/15/17	K		
32. Hartford Cap. Apprec. Fd.	A	Dividend	J	T					
33. Fidelity Adv. Div. Int'l.	A	Dividend	J	T					
34. Lord Abbett NY T/F	B	Interest	L	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/15/2018

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)

35. Putnam Amer-govt. Income FD	A	Interest	J	T					
36. Columbia NY Tax Exp. Cl. A	B	Interest	K	T					
37. Fidelity Adv. Govt. Income FD	A	Interest	J	T					
38. Lord Abbett Short Duration Income FD	A	Dividend	J	T					
39. Hartford Inflation Plus FD	A	Dividend	J	T					
40. Rental Property, Manhattan, New York, NY (2002, \$272,500)	D	Rent	N	R					
41. Nassau County Bonds	A	Interest	K	T					
42. Franklin NY Tax Free	B	Interest	K	T					
43. Fidelity Adv. Strategic	A	Dividend	J	T					
44. Vanguard Consumer Staples	A	Dividend	J	T					
45. Vanguard Info Tech	A	Dividend	J	T					
46. Vanguard Emerg. Mkts.	A	Dividend	J	T					
47. Vanguard High Dvd. Yield	A	Dividend	J	T					
48. Vanguard Total Stock Market ETF	A	Dividend	J	T					
49. Vanguard Total Bond Market ETF	A	Dividend	J	T					
50. Wisdom Tree Continuous Commodity Index Fund	A	Dividend	J	T					
51. Nuveen Int-Dur. Mun. Term Fund	A	Dividend	J	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/15/2018

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)
52. Blackrock Mun. Target Term Trust	A	Dividend	J	T					
53. Western Asset Municipal Income	A	Dividend	K	T					
54. Vanguard FTSE All World ETF	A	Dividend	J	T					
55. Vanguard REIT Index ETF	A	Dividend	J	T					
56. Goldman Sachs Technology Fd.	A	Dividend	J	T					
57. Nuveen Santa Barbara Div. G. Fund	A	Dividend	J	T					
58. NY Convention Ctr. Bond	A	Interest	K	T					
59. Metrop. Trans. Auth. Bond	A	Interest	L	T	Buy (add'l)	07/24/17	K		
60. Wisdomtree Int'l. ETF	A	Dividend	J	T					
61. Erie County NY Swr. Dist.	A	Interest	J	T					
62. Franklin Rising Dir. Fd.	A	Dividend	J	T					
63. Synovus Bank CD	A	Interest			Buy	01/09/17	M		
64. Synovus Bank CD	A	Interest			Sold	07/19/17	M		
65. Blackrock NY Muni Opportunities Fd.	A	Dividend	K	T	Buy	07/24/17	K		
66. Synchrony Bank CD	A	Interest	L	T	Buy	09/29/17	L		
67. Bank of the West CD	A	Interest	M	T	Buy	07/24/17	M		
68. Bank of the West CD	A	Interest	L	T	Buy	07/20/17	L		

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/15/2018

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)
69. Flushing Bank CD	A	Interest	K	T	Buy	01/11/17	K		
70. Ally Bank CD	B	Interest	M	T	Buy	01/10/17	M		
71. Suffolk County Bond	A	Interest	K	T	Buy	01/09/17	K		
72.									
73.									

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/15/2018

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

Part VII. Investments and Trust - Line 30: Redeemed two bonds 08/01/2017 and 09/11/2017.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Lynch, Gerard E.

Date of Report

05/15/2018

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/ **Gerard E. Lynch**

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