

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Leval, Pierre N.	2. Court or Organization U.S. Court of Appeals, 2nd Cir	3. Date of Report 08/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 40 Foley Square Rm 1901 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. 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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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. Jan-Dec.	State St. Cultural Inst. Pension Plan - pension
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. American University	11/12/15	Washington, D.C.	Lecture	Travel
2. University of Washington	04/17/15	Seattle, WA	Lecture/teaching	Travel/lodging
3.				
4.				
5.				

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) 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. Abbot Labs (common stock)(self & spouse)	D	Dividend	O	T					
2. Abbvie Inc. (common stock) (self/spouse)	E	Dividend	O	T					
3. Exxon Mobil (common)	D	Dividend	N	T					
4. Life Technologies - Common		None			Sold	08/27/15	M	G	
5. MRO	A	Dividend	J	T					
6. Daimler Chrysler (common)	A	Dividend	J	T					
7. FMC Money Mkt (self & spouse) (Dreyfus)	A	Interest	K	T					
8. FMC Select Fund (common) (self & spouse)	F	Dividend	P1	T					
9. FMC Select Fund (common) self (see * in Part VIII)		None			Buy (add'l)	01/07/15	J		
10. " "		None			Sold (part)	01/26/15	J	B	
11. " "		None			Sold (part)	03/02/15	J	A	
12. " "		None			Sold (part)	03/30/15	J	B	
13. " "		None			Buy (add'l)	04/01/15	J		
14. " "		None			Sold (part)	04/14/15	L	E	
15. " "		None			Sold (part)	04/28/15	J	B	
16. " "		None			Sold (part)	05/28/15	J	B	
17. " "		None			Buy (add'l)	07/01/15	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 = \$250,000,001 - \$500,000,000	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	

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18.	" "		None		Sold (part)	07/28/15	J	B	
19.	" "		None		Sold (part)	08/28/15	J	A	
20.	" "		None		Sold (part)	09/28/15	J	A	
21.	" "		None		Buy (add'l)	10/01/15	J		
22.	" "		None		Sold (part)	10/28/15	J	B	
23.	" "		None		Sold (part)	11/25/15	J	B	
24.	" "		None		Sold (part)	12/14/15	J	B	
25.	" "		None		Sold (part)	12/28/15	J	B	
26.	" "		None		Buy (add'l)	12/29/15	K		
27.	" "		None		Buy (add'l)	12/31/15	J		
28.	FMC Select Fund (common)*(Spouse)(see * in Part VIII)		None		Buy (add'l)	01/07/15	J		
29.	" "		None		Buy (add'l)	01/30/15	K		
30.	" "		None		Buy (add'l)	04/01/15	J		
31.	" "		None		Buy (add'l)	04/17/15	J		
32.	" "		None		Buy (add'l)	07/01/15	J		
33.	" "		None		Buy (add'l)	10/01/15	J		
34.	" "		None		Buy (add'l)	12/14/15	J		

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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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35. " "		None			Buy (add'l)	12/29/15	J		
36. " "		None			Buy (add'l)	12/31/15	J		
37. " "		None			Sold (part)	12/14/15	J	A	
38. Lincoln St. Realty (limited partnership)		None	J	W					
39. Hershey (common)(s)	C	Dividend	M	T					
40. Smith Barney Liquid Res Fund (common) (s)	B	Dividend	K	T					
41. Gen. American Inv. (common) (GAM) (s)	D	Dividend	N	T					
42. Chase Bank (account) (s)	A	Interest	J	T					
43. Chase Bank (account) (self)		None	M	T					
44. Citibank account		None	J	T					
45. Art Works		None	L	W					
46. Chase bank account (trust)		None	J	T					
47. Vanguard GNMA Fixed Income Fund (trust)	B	Interest	L	T					
48. FHKCX	C	Dividend	K	T					
49. FEMKX	A	Dividend	J	T					
50. FUSVX	A	Dividend	J	T					
51. FLGEX	A	Dividend	J	T					

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52. HGO CX	B	Dividend	K	T					
53. IHSAX	B	Dividend	K	T					
54. HNSCX	A	Dividend	J	T					
55. HIOCX	A	Dividend	J	T					
56. HCACX	B	Dividend	K	T					
57. IGNCX		None	J	T					
58. VTRIX	A	Dividend	J	T					
59. FNYXX	A	Interest	M	T					
60. VDIGX	E	Dividend	N	T					
61. Jacksonville 5.375 8/15/23	D	Interest	M	T					
62. Bd. Man. Guadalupe 5.375 8/15/27	D	Interest	M	T					
63. Detroit Mich Water 5.75 7/1/24	D	Interest	M	T					
64. Detroit Mich Sewer 5.250 7/1/24	A	Interest	K	T	Buy	03/03/15	K		
65. Detroit Water 5.75 7/1/26	C	Interest	L	T					
66. Guam Pwr Bond 5.0 10/1/26	B	Interest	K	T					
67. Guam Apt Bond 5.00 10/1/23	B	Interest	L	T					
68. Guam Pwr 5.00 10/1/23	B	Interest	K	T					

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69. Monroe 5.75 bond 8/15/30	D	Interest	N	T					
70. Monroe 5.75 bond 2035 8/15/35	C	Interest	L	T					
71. E. Rochester 5.00 8/15/27	C	Interest	L	T					
72. E. Rochester 5.00 4/20/27	C	Interest	L	T					
73. Kentucky 6.0 bond 10/1/19	C	Interest	K	T	Sold (part)	10/01/15	J		
74. Michigan Hosp. bond 5.25 5/15/26	C	Interest	L	T	Sold (part)	05/15/15	J		
75. Mississippi Dev. 6.75 12/1/33	D	Interest	M	T					
76. Mississippi Hosp. bond 5.00 8/1/22	B	Interest	L	T					
77. NY Dorm 5.1 2/15/26 bond	D	Interest	M	T					
78. NY Dorm 6.50 8/15/30	B	Interest	K	T					
79. NY Dorm 5.0 8/1/2023	B	Interest	K	T					
80. NYS Energy 5.5 bond 1/1/21	C	Interest	L	T					
81. NYS Energy 5.15 2016 See ** in Part VIII		None							
82. NY Dorm 6.25 8/15/34	C	Interest	L	T					
83. NY Dorm 5.0 10/1/26	B	Interest	L	T					
84. NY Dorm 5.0 7/1/24		None	K	T	Buy	08/19/15	K		
85. Pima 5.0 12/15/36	C	Interest	L	T					

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86. PR 5.375 7/1/25	D	Interest	M	T					
87. PR 5.5 7/1/19	D	Interest	M	T					
88. PR HSG 5.125 12/1/27	C	Interest	L	T					
89. Puerto Rico bond 4.95 7/1/26	C	Interest	L	T					
90. Puerto Rico Comm. 5.5 7/1/20		None	K	T	Buy	07/08/15	K		
91. Puerto Rico Pub Fin 6.00 8/1/26	B	Interest	K	T	Buy	01/21/15	K		
92. Virgin I bond 5.0 10/1/28	B	Interest	K	T					
93. Virgin I Pub Fin bond 4.0 10/1/22	C	Interest	L	T					
94. Virgin I Pub Fin 5.0 10/1/27	C	Interest	M	T					
95. Virgin I Pub Fin 5.25 10/1/24	D	Interest	M	T					
96. Bd. Man. Guadalupe bond 5.375 8/15/27 - spouse	C	Interest	L	T					
97. Detroit Sewer 5.75 7/1/31 - spouse	B	Interest	K	T					
98. Detroit 5.75 7/1/25 - spouse	C	Interest	L	T					
99. Fontana CA 5.0 9/1/16 spouse	A	Interest	K	T	Buy	05/27/15	K		
100. Fresno 5.75 6/1/26 - spouse	B	Interest	K	T					
101. Guam Apt Bond 5.00 10/1/23 (spouse)	B	Interest	L	T					
102. Guam Pwr Bond 5.00 10/1/23 (Spouse)	B	Interest	K	T					

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103. Monroe Cty 5.75 2035 (spouse)	C	Interest	L	T					
104. Monroe Bond 5.75 8/15/30 (Spouse)	C	Interest	L	T					
105. NY Dorm 5.1 2/15/26 bond - spouse	B	Interest	K	T					
106. NY Dorm 6.25 8/15/34 spouse	B	Interest	K	T					
107. NYS Dorm 5.0 10/1/26 - spouse	B	Interest	L	T					
108. NYS Dorm 6.5 8/15/30 spouse (See *** in Part VIII)	B	Interest	K	S					
109. NY Dorm 4.8 2025 bond (spouse)	B	Interest			Redeemed	08/17/15	K		
110. NYS Dorm 5.0 7/1/24 spouse		None	K	T	Buy	08/19/15	K		
111. NYS Urban Bond 5.00 3/15/26 (Spouse)	B	Interest	L	T					
112. Puerto Rico (spouse) 6.0% 7/1/18 Bond	C	Interest	L	T					
113. Puerto Rico (spouse) 4.95% 7/1/26 Bond	B	Interest	K	T					
114. Puerto Rico Pub Fin (spouse) 5.125 6/1/24	A	Interest	K	T	Buy	08/07/15	K		
115. RI Health 5.5 bond - 5/15/16 (spouse)	B	Interest	K	T	Sold (part)	05/15/15	K		
116. Virgin I 5.0% (spouse) 10/1/28 Bond	B	Interest	K	T					
117. Virgin I. 5.0% (spouse) 10/1/30 Bond	C	Interest	L	T					
118. New Providence Assoc. LP fund self		None	O	T					
119. JPMorgan Tax Free Bond VANTX self	A	Interest	K	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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Name of Person Reporting

Leval, Pierre N.

Date of Report

08/09/2016

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

* The first line relating to this security reports in Column B the income received during the year from this security, and in Column C the year's end holdings. Subsequent lines for the same security report additional purchases and partial sales.

** This security was redeemed on 1/17/14 and should not have been included in Column C of the 2014 Report.

*** This security was inadvertently omitted from the 2014 Report.

This amended report is filed in response to the Committee's letter dated August 4, 2016. 1) The answer to the Committee's first question is set forth under "***" above. Line 8 shows in Column B, all dividends received from this security throughout the year and, in Column C, our year-end holdings. Column D in Lines 9 - 37 shows the value of all additional purchases and partial sales and any gain received from partial sales. All required information is included. 2) The Committee's second question notes that a security listed on my previous year's Report was not shown in my current Report. That security is now shown in Line 81 of this Amended Report, with a note at "***" above in this Part VIII, explaining that the security was erroneously included in my previous year's Report. I did not own the security at any time during 2015.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Leval, Pierre N.

Date of Report

08/09/2016

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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Washington, D.C. 20544