

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                     |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Cabranes, Jose A.                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals                                                                                                                                                                                                                                        | <b>3. Date of Report</b><br><br>05/15/2013                       |
| <b>4. Title</b> (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>Active                                                      | <b>5a. Report Type</b> (check appropriate type)<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 checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2012<br>to<br>12/31/2012 |
| <b>7. Chambers or Office Address</b><br><br>141 Church Street<br>New Haven, CT 06510                                                                                                       |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p><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. Trustee      | Columbia University, New York, NY                                                                                         |
| 2. Trustee      | William Nelson Cromwell Foundation, New York, NY                                                                          |
| 3. Member       | Academic Advisory Committee of the Institute for Constitutional Studies, The George Washington University, Washington, DC |
| 4.              | Note: No income of any kind was derived from any of the positions or services or activities noted above.                  |
| 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 9

Name of Person Reporting

Cabranes, Jose A.

Date of Report

05/15/2013

**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. 2012     | University of Chicago Press (Royalties) |
| 2. 2012     | Thomson-West (Royalties)                |
| 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. Association of American Law Schools | January 5-7, 2012 | Washington, DC  | Speech at AALS Annual Meeting Luncheon  | Meals, lodging and cost of transportation to and from Washington, D.C. |
| 2. Columbia University                 | March 9-10, 2012  | New York, NY    | Board of Trustees Committee Meeting     | Meals and cost of transportation to and from New York                  |
| 3. Hudson Guild Neighborhood House     | April 3, 2012     | New York, NY    | Attend dinner honoring former law clerk | Meal and cost of transportation to and from New York                   |
| 4. Columbia University                 | June 8-9, 2012    | New York, NY    | Board of Trustees Committee Meeting     | Meals and cost of transportation to and from New York                  |
| 5. Columbia University                 | October 12, 2012  | New York, NY    | Board of Trustees Dinner                | Meal and cost of transportation to and from New York                   |

# FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Cabranes, Jose A.

Date of Report

05/15/2013

|     |                                    |                                   |               |                                                                          |                                                                                                                                             |
|-----|------------------------------------|-----------------------------------|---------------|--------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|
| 6.  | William Nelson Cromwell Foundation | November 5, 2012                  | New York, NY  | Annual Meeting of the Trustees                                           | Meal and cost of transportation to and from New York                                                                                        |
| 7.  | Yale University                    | November 6-15, 2012               | Havana, Cuba  | Educational Trip with Yale Alumni Group                                  | Meals, lodging and the cost of transportation to and from Havana, Cuba as uncompensated co-leader (with spouse) on U.S. Government-approved |
| 8.  |                                    |                                   |               |                                                                          | educational trip.                                                                                                                           |
| 9.  | Yale University                    | Various dates throughout the year | New Haven, CT | Attend or participate in varied University academic and social functions | Meals and refreshments as spouse of tenured faculty member or as a former University trustee                                                |
| 10. |                                    |                                   |               |                                                                          |                                                                                                                                             |
| 11. |                                    |                                   |               |                                                                          |                                                                                                                                             |
| 12. |                                    |                                   |               |                                                                          |                                                                                                                                             |
| 13. |                                    |                                   |               |                                                                          |                                                                                                                                             |
| 14. |                                    |                                   |               |                                                                          |                                                                                                                                             |

**FINANCIAL DISCLOSURE REPORT**

Page 4 of 9

Name of Person Reporting

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05/15/2013

**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. | Jay Vlock & Gail Brekke; Michael Vlock | Tickets to N.Y. Yankees game | \$600.00     |
| 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. |                 |                    |                   |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Cabranes, Jose A.

Date of Report

05/15/2013

## 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 I<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) |

|                                                               |   |           |    |   |             |          |   |   |  |
|---------------------------------------------------------------|---|-----------|----|---|-------------|----------|---|---|--|
| 1. Fidelity Asset Manager (FASMX)                             | B | Dividend  | L  | T |             |          |   |   |  |
| 2. CT Higher Education Trust (Principal Plus Interest Option) |   | None      |    |   | Sold        | 09/12/12 | J |   |  |
| 3. CT Higher Education Trust (Principal Plus Interest Option) |   | None      |    |   | Sold (part) | 01/11/12 | J |   |  |
| 4.                                                            |   |           |    |   | Sold (part) | 07/23/12 | J |   |  |
| 5.                                                            |   |           |    |   | Sold (part) | 12/13/12 | J |   |  |
| 6.                                                            |   |           |    |   | Sold        | 12/19/12 | K |   |  |
| 7. Citizens Bank Accounts                                     | A | Interest  | K  | T |             |          |   |   |  |
| 8. Vanguard Money Market Account (VMSXX)                      | A | Interest  | J  | T |             |          |   |   |  |
| 9. Vanguard Life Strategy Con Growth Account (VSCGX)          | C | Dividend  | M  | T | Sold (part) | 03/27/12 | J |   |  |
| 10.                                                           |   |           |    |   | Sold (part) | 04/11/12 | K |   |  |
| 11.                                                           |   |           |    |   | Buy         | 08/06/12 | K |   |  |
| 12. Wells Fargo Adv. Funds f/k/a Evergreen Serv. Co. (EACFX)  | A | Dividend  | J  | T |             |          |   |   |  |
| 13. TIAA-CREF Annuity (vested)                                | D | Int./Div. | L  | T |             |          |   |   |  |
| 14. TIAA-CREF Pension                                         |   | None      | P1 | T |             |          |   |   |  |
| 15. Morgan Stanley Roth IRA                                   | A | Dividend  | M  | T |             |          |   |   |  |
| 16. -AFIFX                                                    |   |           |    |   |             |          |   |   |  |
| 17. -MCGFX                                                    |   |           |    |   | Sold (part) | 11/15/12 | J | A |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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

Page 6 of 9

Name of Person Reporting

Cabranes, Jose A.

Date of Report

05/15/2013

## 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) |

|                  |  |  |  |  |                |          |   |   |  |
|------------------|--|--|--|--|----------------|----------|---|---|--|
| 18. -BPRAX       |  |  |  |  | Buy            | 8/12/11  | J |   |  |
| 19. -BMCSX       |  |  |  |  |                |          |   |   |  |
| 20. -CCVIX       |  |  |  |  |                |          |   |   |  |
| 21. -DTRIX       |  |  |  |  |                |          |   |   |  |
| 22. -EHSTX       |  |  |  |  |                |          |   |   |  |
| 23. -EACSX       |  |  |  |  |                |          |   |   |  |
| 24. -HLEMX       |  |  |  |  |                |          |   |   |  |
| 25. -IGLAX       |  |  |  |  |                |          |   |   |  |
| 26. -JDIAX       |  |  |  |  |                |          |   |   |  |
| 27. -JDPAX       |  |  |  |  |                |          |   |   |  |
| 28. -PTTAX       |  |  |  |  |                |          |   |   |  |
| 29. -RPFFX       |  |  |  |  |                |          |   |   |  |
| 30. -TPINX       |  |  |  |  |                |          |   |   |  |
| 31. -TGVAX       |  |  |  |  |                |          |   |   |  |
| 32. -MH191 IPBIX |  |  |  |  | Sold           | 8/12/11  | J | A |  |
| 33. -BG39E IPPXX |  |  |  |  | Sold<br>(part) | 02/15/12 | J | A |  |
| 34. -BG39E IPPXX |  |  |  |  | Sold<br>(part) | 05/15/12 | J | A |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 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 \$5,000,000 | 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

Page 7 of 9

Name of Person Reporting

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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. -BG39E IPPXX                                                                                                            |                                         |                                               |                                                 |                                           | Sold                                            | 08/15/12                | J                               | A                              |                                                                   |
| 36. Hartford Life & Annuity Ins. Co. (variable life ins. policy)                                                            | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. MS Active Assets Tax-Free Trust                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. Nuveen Premium INC MUN FD (NPI)                                                                                         | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. Nuveen Conn DV ADV Muni Preferential Rate (NTC)                                                                         | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. Puerto Rico Comwlth Hwy Transnauth                                                                                      | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 41. BlackRock Muniyied Investment Preferential Rate Fund (MYF)                                                              | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 42. Western Asset MNGD Municipals Fund (MMU)                                                                                | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. People's United Financial Inc. (PBCT)                                                                                   | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. Columbia Tax Exempt C (COLCX)                                                                                           | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 45. Conn. St. General Obig. Ref. Ser-B (CUSIP [REDACTED])                                                                   | A                                       | 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

Page 8 of 9

Name of Person Reporting

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Date of Report

05/15/2013

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

### V. Gifts:

The amount listed is an approximate value. The precise value of the hospitality (tickets) was not disclosed to us by our hosts. A similar gift of tickets to a N.Y. Yankees game, of the same approximate value, was inadvertently not disclosed in the Financial Disclosure Report for 2011.

### VII. Investments and Trusts:

VII, 6 (the last entry for Connecticut Higher Education Trust): Substantially all of this account was sold or redeemed to pay college expenses the remaining de minimis amount (approx. \$50) was sold, and the account closed, on 4/29/13.

VII, 14: university pension plan since 1984.

VII, 33, VII 34, and VII 35 in the Financial Disclosure Form for 2011 inadvertently used incorrect security codes. These particular items, which form part of Morgan Stanley IRA, are as follows: (1) VII, 33 (in 2011 Report)--MH191, should have been denoted by code IPBIX. This was sold (all) on 8/12/11, a transaction recorded in this Amended Report at VII, 32. (2) VII, 34 (in 2011 Report)--MLX57 should have been denoted by code BPRAX; this was bought on 8/12/11, a transaction recorded in this Amended Report at VII, 18. (3) VII, 35 (in 2011 Report)--BG39E should have been denoted by code IPPXX. It is reported again in this Amended Report at VII, 33, VII, 34, and VII, 35, with its correct code (namely, IPPXX). Part of it was sold on 2/15/12 (#33); part of it was sold on 5/15/12 (#34); the remainder (i.e., all) was sold on 8/15/12 (#35).

VII, 34: cash value life insurance policy, which is part insurance and part investment, was obtained in 1998 and has been in effect since then. Initially it had no reportable "investment value." Value indicated refers to investment value of the policy as of December 31, 2012.

VII, 35: Please note the correct name of this account is MS Active Assets Tax-Free Trust--not Nuveen MS Active Tax-Free Trust as incorrectly reported in the Financial Disclosure Report for 2011 at VII, 37.

VII, 37: Please note the correct security code for Nuveen Conn DV ADV Muni Preferential Rate is NTC, not NFC as incorrectly reported in the Financial Disclosure Report for 2011 at VII, 39.

# FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Cabranes, Jose A.

Date of Report

05/15/2013

## 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/ Jose A. Cabranes**

**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