

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 6/25/2012
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 01/01/2011 to 12/31/2011
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 <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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	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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE AND TYPE

1. Jan.-Dec. _____

State St. Cultural Inst. Pension Plan - pension

2. Jan.-Dec. _____

Pollock-Krasner Foundation - advisory

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

	<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.	MONY	Loan on life insurance policy	L
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)()	E	Dividend	O	T					
2. Exxon Mobil (common)	D	Dividend	N	T					
3. Life Technologies - Common		None	M	T					
4. Applera - Celera Gen (CRA) (formerly PE Celera Genomics(com)		None			Sold	07/05/11	J		
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) ()	C	Dividend	N	T					
9. FMC Select Fund - () (See * in Part VIII)		None			Buy (add'l)	01/11/11	M		
10. ()		None			Sold (part)	01/28/11	K		
11. ()		None			Sold (part)	02/28/11	J		
12. ()		None			Sold (part)	03/28/11	J		
13. ()		None			Buy	04/01/11	J		
14. ()		None			Sold (part)	04/28/11	J		
15. ()		None			Sold (part)	05/27/11	J		
16. ()		None			Sold (part)	06/28/11	J		
17. ()		None			Buy (add'l)	07/01/11	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 - \$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	

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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 I (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. ☐		None			Sold (part)	07/28/11	J		
19. ☐		None			Sold (part)	08/29/11	J		
20. ☐		None			Sold (part)	09/13/11	K		
21. ☐		None			Sold (part)	09/28/11	J		
22. ☐		None			Buy (add'l)	10/03/11	J		
23. ☐		None			Sold (part)	10/28/11	J		
24. ☐		None			Sold (part)	11/28/11	J		
25. ☐		None			Sold (part)	12/23/11	J		
26. ☐		None			Buy (add'l)	12/30/11	J		
27. ☐		None			Buy (add'l)	04/01/11	J		
28. ☐		None			Buy (add'l)	07/01/11	J		
29. ☐		None			Buy (add'l)	10/03/11	J		
30. ☐		None			Sold (part)	12/23/11	K		
31. ☐		None			Buy (add'l)	12/30/11	J		
32. Lincoln St. Realty (limited partnership)		None	J	W					
33. Hershey (common) ☐	B	Dividend	M	T					
34. Smith Barney Liquid Res Fund (common) ☐	B	Dividend	K	T					

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

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35. Gen. American Inv. (common) (GAM)	C	Dividend	M	T					
36. Chase Bank (account)	A	Interest	J	T					
37. Chase Bank (account)		None	L	T					
38. Citibank account		None	J	T					
39. Art Works		None	L	W					
40. Chase bank account (trust)		None	J	T					
41. Vanguard GNMA Fixed Income Fund (trust)	C	Interest	L	T					
42. FHKCX	A	Dividend	J	T					
43. FEMKX	A	Dividend	J	T					
44. FUSVX	A	Dividend	J	T					
45. FLGEX	A	Dividend	J	T					
46. HGOX		None	J	T					
47. IHSAX	A	Dividend	J	T					
48. HNSCX		None	J	T					
49. HIOX	A	Dividend	J	T					
50. HCACX	A	Dividend	J	T					
51. IGNCX		None	J	T					

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52. TILFX	A	Dividend	K	T					
53. VTRIX	A	Dividend	J	T					
54. FNYXX	A	Interest	N	T					
55. Alabama 5.25 bond 11/1/15	A	Interest			Sold	01/05/11	L		
56. Elizabethton 7.00 7/1/20	D	Interest	M	T					
57. Jacksonville 5.375 8/15/23	D	Interest	M	T					
58. Bd. Man. Guadalupe 5.375 8/15/27	D	Interest	M	T					
59. Monroe 5.75 bond 2030	B	Interest	L	T	Buy	02/03/11	L		
60. Monroe 5.75 bond 2035		None	L	T	Buy	12/14/11	L		
61. E. Rochester 5.375 bond	D	Interest	M	T					
62. E. Rochester 5.00 8/15/27	C	Interest	L	T					
63. Kentucky 6.0 bond 10/1/19	D	Interest	L	T	Sold (part)	10/03/11	J		
64. Louisiana 5.250 7/1/24	C	Interest	L	T					
65. Mahoning 5.5 bond	B	Interest	K	T					
66. MTA 5.25 4/1/14 bond	D	Interest	M	T					
67. MTA 5.0 7/1/15 bond	D	Interest	M	T					
68. MTA 5.625 7/1/16 bond	C	Interest	L	T					

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69. Michigan Hosp. bond	C	Interest	L	T					
70. Mississippi Hosp. bond	B	Interest	L	T					
71. Muskingum bond	B	Interest			Sold	06/17/11	L		
72. NYC 5.375 6/1/23 bond	D	Interest	M	T					
73. NYS Bridge 5.125 1/1/12 bond	B	Interest	K	T					
74. NY Dorm 5.1 2/15/26 bond	D	Interest	M	T					
75. NY Dorm 6.45 8/15/24 bond	D	Interest	M	T					
76. NY Dorm 5.25 8/1/25 bond	D	Interest	M	T					
77. NY Dorm 5.25 8/1/19 bond	D	Interest			Sold (part)	02/01/11	J		
78. " "					Sold	06/23/11	M		
79. NY Dorm 5.45 8/1/29 bond	C	Interest			Sold	06/23/11	L		
80. NY Dorm 5.5 8/1/38 bond	C	Interest			Sold	06/23/11	M		
81. NY Dorm 5.4 2/1/31 bond	D	Interest	L	T	Sold (part)	02/01/11	J		
82. NY Dorm 5.75 8/1/24 bond	D	Interest	M	T					
83. NY Dorm 5.45 8/1/35 bond	C	Interest	L	T					
84. NY Dorm 5.45 8/1/27 bond	D	Interest	M	T					
85. NY Dorm 5.0 2/1/18 bond	C	Interest			Sold	12/23/11	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
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86. NY Dorm 5.95 2016	A	Interest	K	T	Buy	06/23/11	K		
87. " *					Sold (part)	08/01/11	J		
88. NY Dorm 4.9 8/15/2031		None	M	T	Buy	12/13/11	M		
89. NY Dorm 5.0 8/1/2023		None	K	T	Buy	07/27/11	K		
90. NY Dorm 5.625 2012	C	Interest	M	T	Buy	06/07/11	M		
91. NY Dorm 5.25 2028	C	Interest	M	T	Buy	06/07/11	M		
92. NYS Energy 5.5 bond 1/1/21	C	Interest	L	T					
93. NYS Energy 5.15 2016	B	Interest	L	T	Buy	06/14/11	L		
94. NYS Envir. 5.125 bond 6/15/19	D	Interest	M	T					
95. NYS Mtg. 5.0 4/1/25	C	Interest	K	T	Sold (part)	10/24/11	J		
96. NYS Urban 5.5 bond 7/1/16	A	Interest			Sold	02/01/11	J		
97. Norfolk 5.75 bond 11/1/13	C	Interest	L	T					
98. NC East Mun 5.5 bond 1/1/21	C	Interest	L	T					
99. Pima 5.0 12/15/36	C	Interest	L	T					
100. RI Dep 6.0 bond 8/1/17	C	Interest	L	T					
101. RIS Health 5.5 bond 5/15/16	C	Interest	L	T					
102. Sacramento 5.0 bond 12/1/16	C	Interest	L	T					

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103. St. Paul 5.5 bond 11/1/23	D	Interest	M	T					
104. Tomkins Cty 6.0 2014	C	Interest	M	T	Buy	06/07/11	M		
105. Triborough 5.25 1/1/13 bond	C	Interest	L	T					
106. Triborough 5.25 1/1/14 bond	C	Interest	M	T					
107. Washington 6.25 8/1/28	D	Interest	M	T					
108. Washington bond	D	Interest	M	T					
109. Bd. Man. Guadalupe bond 5.375 8/15/27 -	C	Interest	L	T					
110. Califor. 4.9 10/1/13	C	Interest	L	T					
111. NY MTA 5.25 4/1/14 bond -	C	Interest	L	T					
112. Michigan 5.75 8/15/26	B	Interest	K	T					
113. Monroe Cty 5.75 2035		None	L	T	Buy	12/14/11	L		
114. Muskingum 5.35 bond -	A	Interest			Sold (part)	02/15/11	J		
115. " *					Sold	06/30/11	J		
116. NYC Mun 5.75 bond 6/15/13	B	Interest	K	T					
117. NYC bond -	B	Interest	L	T					
118. NY Dorm 5.1 2/15/26 bond -	C	Interest	L	T	Sold (part)	03/15/11	J		
119. NY Dorm 6.45 8/15/24 bond-	C	Interest	L	T					

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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)
120. NY Dorm 5.25 8/1/25 bond - [REDACTED]	C	Interest	L	T					
121. NY Dorm 5.5 8/1/38 [REDACTED]	[REDACTED]	Interest			Sold	06/23/11	L		
122. NY Dorm 5.0 2/1/12 bond [REDACTED]	B	Interest			Sold	12/23/11	K		
123. NY Dorm 5.0 2/1/28 bond - [REDACTED]	C	Interest			Sold	12/23/11	L		
124. NY Dorm 4.8 2025 bond [REDACTED]	A	Interest	K	T	Buy	04/15/11	K		
125. NYS Energy 5.15 2016 bond [REDACTED]	B	Interest	L	T	Buy	06/07/11	L		
126. Norfolk 5.75 bond - [REDACTED]	C	Interest	L	T					
127. North Car. 5.5 1/1/21 bond [REDACTED]	B	Interest	K	T					
128. RI Health 5.5 bond - [REDACTED]	C	Interest	L	T					
129. Waco TX bond 5.0 8/1/31 - [REDACTED]	B	Interest	K	T					
130. New Providence Assoc. LP fund [REDACTED]	E	Dividend	N	T					
131. JPMorgan Tax Free Bond VANTX [REDACTED]	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Leval, Pierre N.

Date of Report

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

* The first line relating to this security reports the year's end holdings and the dividends and interest received during the year from this security. Subsequent lines for the same security report purchases and sales. If, as for lines 77 and 114, all holdings of the security were sold, the first line is blank in Column C, reflecting the fact that I had no holdings, at the year's end.

Extension was granted to file report until July 14, 2012.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Leval, Pierre N.

Date of Report

6/25/2012

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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