

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Parker, Barrington D.	2. Court or Organization USCA - Second Circuit	3. Date of Report 06/18/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Parker, Barrington D.

Date of Report

06/18/2015

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. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting
Parker, Barrington D.

Date of Report
06/18/2015

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Parker, Barrington D.

Date of Report

06/18/2015

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. CITIGROUP GLOBALMKTS INC. IRA	B	Dividend	K	T					
2. Blackrock High Yield Bond Fund					Sold (part)	01/06/14	J		
3.									
4. Eaton Vance Floating Rate Fund					Sold (part)	01/06/14	J		
5.									
6. Loomis Sayles Investment Grade Bond Fund					Sold (part)	01/06/14	J		
7.					Sold (part)	02/20/14	J		
8.									
9. Nuveen Santa Barbara Dividend Growth Fund					Sold (part)	01/06/14	K		
10.					Sold (part)	02/20/14	J		
11.									
12. Pimco Total Return Fund					Sold (part)	01/06/14	K		
13.					Sold (part)	02/20/14	J		
14.									
15. Templeton Global Bond Fund Advisor					Sold (part)	01/06/14	J		
16.									
17. Thornburg International Value Fund					Sold (part)	01/08/14	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
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	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 9

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	(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.									
19.	Vanguard Long-Term Investment Grade Fund				Sold (part)	01/06/14	J		
20.					Sold (part)	02/20/14	J		
21.					Sold (part)	03/31/14	J		
22.									
23.	IShares TR IBOX USD Inv Grade Corp BD				Sold (part)	01/08/14	J		
24.									
25.	IShares TR Russell Midcap Value Index				Sold (part)	01/08/14	J		
26.					Sold (part)	01/08/14	J		
27.					Sold (part)	03/31/14	J		
28.									
29.	IShares TR Russell Midcap Value Index IETF				Sold (part)	03/31/14	J		
30.					Sold (part)	03/31/14	J		
31.									
32.	SPDR SER TR BARCLAYS S BD ETF				Buy	03/19/14	J		
33.					Sold (part)	03/31/14	J		
34.					Sold (part)	06/24/14	J		

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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35.									
36. Vanguard Intl Equity Index FDS MSCI					Sold (part)	01/08/14	J		
37.									
38. Vanguard Tax Managed TSE (x)					Sold (part)	03/31/14	J		
39.									
40. Chelsea Piers CT LLP			O	W					
41.									
42.									
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

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52.									
53.									
54.									
55.									
56.									
57.									
58.									
59.									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

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Date of Report

06/18/2015

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

1. [REDACTED] has sole financial responsibility for funds [REDACTED] and I have no knowledge about them.
2. [REDACTED] separate assets and income are derived solely from [REDACTED] and I have no claim to, or interest in, any of them.
3. I do not derive or expect to derive any financial or economic benefit from these separate funds as I have my own income.
4. We file separate income tax returns.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Parker, Barrington D.

Date of Report

06/18/2015

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/ Barrington D. Parker**

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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One Columbus Circle, N.E.
Washington, D.C. 20544