

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) Chin, Denny	2. Court or Organization Second Circuit	3. Date of Report 07/06/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 U.S. Courthouse 40 Foley Square, Room 2003 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. Adjunct Professor	Fordham Law School
2. Board Member	Fordham Law Review Alumni Association
3. Board Member, Vice President	Fordham Law Review Alumni Association
4. Executive Committee Member	Federal Bar Council Inn of Court
5. Trustee	Princeton University
6. Board Member	Sonia and Celina Sotomayor Judicial Internship Program

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. 2015	Fordham Law School, wages for teaching	\$18,250.00
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. 2015	Law firm income
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. Princeton University	Jan. 30-31, 2015	Princeton, NJ	Attend Board Meeting	hotel
2. ABA	March 3-6, 2015	New Orleans, LA	Speaker	travel expenses/hotel
3. Georgetown University Law Center	March 19-20, 2015	Washington, DC	Speaker	travel expenses/hotel
4. University of North Carolina	March 20-22, 2015	Raleigh-Durham, NC	Speaker	travel expenses/hotel
5. Princeton University	March 26-29, 2015	Princeton, NJ	Attend Board Meeting	hotel
6. Univ. of Illinois College of Law	April 6-8, 2015	Champaign, IL	Speaker	travel expenses/hotel

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7.	Georgia Asian Pacific American Bar Association	May 14-15, 2015	Atlanta, GA	Speaker	travel expenses/ hotel
8.	Princeton University	May 31-June 1, 2015	Princeton, NJ	Attend Board Meeting	hotel
9.	Princeton University	September 24-26, 2015	Princeton, NJ	Attend Board Meeting	hotel
10.	Princeton University	October 15-18, 2015	Princeton, NJ	Speaker	hotel
11.	Federal Bar Council	October 23-25, 2015	New Paltz, NY	Speaker	hotel/meals
12.	Princeton University	November 19-21, 2015	Princeton, NJ	Attend Board Meeting	hotel

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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.	401K	Loan from spouse's retirement plan	J
2.	Citibank	Loan for law firm Capital Account	N
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. Eastbank, N.A. bank accounts	A	Interest	M	T					
2. Chase Bank bank accounts	A	Interest	L	T					
3. Citibank bank accounts	C	Interest	K	T					
4. Fidelity Investments Puritan Fund IRA	A	Dividend	J	T					
5. Northwestern Mutual whole life insurance	A	Dividend	M	T					
6. NYS 529 college savings plans; moderate age-based option	A	Dividend	L	T					
7. Dodge & Cox Stock Fund	A	Dividend	M	T					
8. Artisan Internation Fund	B	Dividend	N	T					
9. Vanguard Wellington Fund Investor Shares	D	Dividend	N	T					
10. Vanguard Explorer Fund Investor Shares	D	Dividend	M	T					
11. Vanguard Primecap Fund Admiral	E	Dividend	O	T					
12. Vanguard Inst. Index Fund	E	Dividend	O	T					
13. Vanguard Long-Term Investment Grade Fund	D	Dividend	N	T					
14. Vanguard Windsor II Fund Investor Shares	D	Dividend	M	T					
15. Merrill Lynch Cash/Money Account	A	Interest	J	T					
16. Blackrock Hi Yld Bd	C	Dividend	K	T					
17. MSCI Emerging	A	Dividend	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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18. Oppenheimer Developing	A	Dividend	L	T					
19. Nuveen Hi Yield Muni	A	Dividend	K	T	Buy	02/06/15	K		Merrill Lynch
20. SPDR DJ Wilshire REIT	A	Dividend	L	T	Buy	02/06/15	L		Merrill Lynch
21. SPDR Gold Trust	A	Dividend	K	T	Buy	02/06/15	K		Merrill Lynch
22. Skybridge G II Fund	A	Dividend	N	T	Buy	01/01/15	N		Merrill Lynch
23. Vanguard Int'l Value Fund	A	Dividend	N	T	Buy	08/17/15	N		Vanguard
24. Loomis Sayles Core Plus	A	Dividend	M	T	Buy	08/17/15	M		Vanguard

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

For Question I, I added item 5, as I am a member of the Board of Trustees of Princeton University. I have been a member since the Fall of 2013, but I inadvertently neglected to include this listing in my reports for 2013 and 2014.

I now add item 6: in 2015, I joined the Board of the Sonia and Celina Sotomayor Judicial Internship Program.

For Question VII, I omitted "Royce Total Return Fund" and "PIMCO Total Return Fund," both of which appeared in my 2014 report. These funds were part of my spouse's retirement funds at her place of employment. In 2015, both funds were eliminated by her employer as an option; the Royce fund was eliminated effective August 4, 2015 and the PIMCO fund was eliminated effective January 30, 2015. This applied to all employees. The amounts in my spouse's accounts -- value of M for both the Royce and PIMCO funds -- were transferred to existing funds held by my spouse. The gains for both were value B.

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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/ Denny Chin**

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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