

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Lynch, Gerard E.	2. Court or Organization U.S. Court of Appeals, Second Circuit	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Professor of Law	Columbia University
2.	
3.	
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. 1/1/15	Columbia University	\$27,494.04
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. 1/1/16	Flushing Hospital
2. 1/1/16	Private Practice of Psychotherapy
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 Law Institute	May 15-18	Washington, DC	Annual Meeting	Travel, Lodging, Meals
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.			
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. Citibank Accounts	A	Interest	M	T					
2. Bank of America Money Market Account	A	Interest	M	T					See note in Section VIII.
3. Amex Centurion Bank Money Market Account	A	Interest	M	T					See note in Section VIII.
4. Bremer Bank NA Money Market Account	A	None	N	T					See note in Section VIII.
5. Blackrock NY Muni Inc. Tr.	A	Dividend	K	T					
6. Gabelli Utility Trust PFD	A	Dividend	J	T					
7. Capital One Savings Account	A	Interest	J	T					Formerly ING
8. Allianz GI Con. Fd.	A	Dividend	J	T					Formerly AGIC
9. Voya Global Equity Fund	A	Dividend	J	T					Formerly ING
10. PIMCO NY Muni Inc. Fd.	A	Dividend	J	T					
11. Blackrock Global Allocation B	A	Dividend	J	T					
12. Triborough BTA Bonds	A	Interest	L	T					
13. Eaton Vance Enhanced Equity Fd.	A	Dividend	J	T					
14. Eaton Vance Tax Managed Global Fund	A	Dividend	J	T					
15. Nuveen Municipal Value	A	Dividend	J	T					
16. PIMCO Income Strategy Fd.	A	Dividend	J	T					
17. Putnam Int'l. Gr. Fund	A	Dividend	J	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 \$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. Alpine Total Dynamic Div. Fd.	A	Dividend	J	T					
19. Invesco Tax Free Int. Shares	A	Dividend	J	T					
20. Eaton Vance Floating Rate Inc. Tr.	A	Dividend	J	T					
21. Rochester Muni Fd. CI A	B	Dividend	K	T					
22. Templeton Dev. Mkt. Trust A	A	Dividend			Sold	12/07/16	J	B	
23. Rydex Inverse Govt. Long Bond Strategy		None	J	T					
24. Franklin Utilities	A	Dividend	J	T					
25. SunAmerica Focused Small Cap		None	J	T					
26. TIAA Traditional RA		None	O	T					See note in Section VIII.
27. CREF Stock R3		None	M	T					See note in Section VIII.
28. Franklin Income Fd. C	A	Dividend	J	T					
29. Voya Risk Managed Nat. Res. Fd.	A	Dividend	J	T					Formerly ING
30. Nuveen Global Fd.	A	Dividend	J	T					
31. NYC Bonds	A	Interest	K	T					
32. Port Authority Bonds	A	Interest			Redeemed	01/15/16	J		
33. NYS Dorm Auth. Bonds	B	Interest	K	T	Sold (part)	07/01/16	J		
34. Hartford Cap. Apprec. Fd.	A	Dividend	J	T					

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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. Fidelity Adv. Div. Int'l.	A	Dividend	J	T					
36. Lord Abbett NY T/F	B	Interest	L	T					
37. PIMCO Long-term U.S. GOVT.	A	Interest			Sold	12/07/16	J		
38. Putnam Amer-govt. Income FD	A	Interest	J	T					
39. Columbia NY Tax Exp. Cl. A	B	Interest	K	T					
40. Fidelity Adv. Govt. Income FD	A	Interest	J	T					
41. Franklin U.S. Govt. Sel. FD	B	Dividend			Sold	12/07/16	J		
42. Lord Abbett Short Duration Income FD	A	Dividend	J	T					
43. Hartford Inflation Plus FD	A	Dividend	J	T					
44. Rental Property, Manhattan, New York, NY (2002, \$272,500)	A	Rent	N	R					
45. Nassau County Bonds	A	Interest	K	T					
46. Franklin NY Tax Free	B	Interest	K	T					
47. Fidelity Adv. Strategic	A	Dividend	J	T					
48. Vanguard Consumer Staples	A	Dividend	J	T					
49. Vanguard Info Tech	A	Dividend	J	T					
50. Vanguard Emerg. Mkts.	A	Dividend	J	T					
51. Vanguard High Dvd. Yield	A	Dividend	J	T					

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52. Vanguard Total Stock Market ETF	A	Dividend	J	T					
53. Vanguard Total Bond Market ETF	A	Dividend	J	T					
54. Wisdom Tree Continuous Commodity Index Fund		None	J	T					Formerly Green Haven
55. Nuveen Int-Dur. Mun. Term Fund	A	Dividend	J	T					
56. Blackrock Mun. Target Term Trust	A	Dividend	J	T					
57. Western Asset Municipal Income	A	Dividend	K	T					Formerly Legg Mason
58. Vanguard FTSE All World ETF	A	Dividend	J	T					
59. Vanguard REIT Index ETF	A	Dividend	J	T					
60. Goldman Sachs Technology Fd.	A	Dividend	J	T					
61. Nuveen Santa Barbara Div. G. Fund	A	Dividend	J	T					
62. NY Convention Ctr. Bond		None	K	T	Buy	12/08/16	K		
63. Metrop. Trans. Auth. Bond		None	K	T	Buy	12/07/16	K		
64. Wisdomtree Int'l. ETF	A	Dividend	J	T					
65. Santander Bank CD	A	Interest			Redeemed	04/01/16	L		
66. Erie County NY Swr. Dist.	A	Interest	J	T					
67. Franklin Rising Dir. Fd.		None	J	T	Buy	12/07/16	J		
68.									

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

Part VII, Line 2: Previously reported as Merrill Lynch Money Market Account.

Part VII, Lines 3-4: Previously reported, collectively, as Ameriprise Money Market Account.

Part VII, Lines 26-27: Previously reported, collectively, as TIAA-CREF.

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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/ Gerard E. Lynch**

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