

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Jacobs, Dennis	2. Court or Organization Court of Appeals, 2d Circuit	3. Date of Report 04/26/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address U.S. Courthouse 40 Foley Square, Room 2301 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. Director	Residential Cooperative
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.	

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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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Cornell Law School

10/04/2017 -
10/05/2017

Ithaca, New York

Teaching

Transportation, Lodging, Food

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Muni Bond: King Co. Wash Sch Dist. No 412 10/21/10	A	Interest			Matured	12/01/17	K		
2. Muni Bond: Baton Rouge LA Pub Impt. Sales Tax Ser B 9/28/10	A	Interest	K	T					
3. Muni Bond: Fort Bend Tex Flood Ctrl Water Supply 10/1/10	A	Interest	K	T					
4. Muni Bond: Ohio St. Rfdg Common Schs. Ser C 10/8/10	A	Interest	K	T					
5. Muni Bond: N. Carolina St. Grant Antic Rev. Vehicle 8/5/09	A	Interest	K	T					
6. Muni Bond: UConn. Ser A 5/25/10	B	Interest			Sold	11/08/17	K		
7. Muni Bond: Ohio St. Univ. Gen Rcpts Rfdg Ser D 10/6/10	A	Interest	K	T					
8. Muni Bond: Broward Co. Rfdg Prks Land Pres 4/10/12	A	Interest	K	T					
9. Muni Bond: S. Carolina St. Pub Svc Auth 11/10/10	A	Interest			Sold	03/10/17	K		
10. Muni Bond: Cypress-Fairbanks Tex Indpt School Dist 2/1/12	B	Interest	K	T					
11. Muni Bond: Wash St Univ Revs Gen B/E 2/23/12	B	Interest	K	T					
12. Muni Bond: Columbia SC Wtrwks & SWR 3/8/12	B	Interest	K	T					
13. Muni Bond: Orlando FLA Utils Commn Util Sys Rev Ref-C	A	Interest	K	T					
14. Muni Bond: Charlotte NC Genl Oblig Ref-A	B	Interest	K	T					
15. Muni Bond: Harbor Beach, MI Comm. Sch. Dist. Ref. 5/1/2026	A	Interest	J	T					
16. Muni Bond: Temple, TX Genl. Oblig Ref. & Impt. Genl. Oblig. 8/1/19	A	Interest	J	T					
17. Muni Bond: City of Chicago O'Hare Intl. Airp. Non Amt. Rev Ref B	A	Interest	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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. Muni Fund: Blackrock Strat Muni Opport 1 (MAMTX)	D	Dividend	O	T					
19. Muni Fund: Deutsche Interim Tax/Amt Fr S (SCMTX)	B	Dividend	K	T					
20. Money Market: Morgan Stanley US Govt Money Market Trust	A	Int./Div.	N	T					
21. Muni Bond: Central Dauphin PA Sch Dist 02/01/28	A	Interest	J	T					
22. Muni Bond: Lancaster Cnty PA Genl Oblig Ref A 5/1/27	A	Interest	J	T					
23. Muni Bond: Lancaster Cnty PA Genl Oblig Ref A 5/21/28	A	Interest	K	T					
24. Muni Bond: Bd Regents Tx St Univ Fin Rev Ref A 01/01/17	A	Interest	J	T	Buy	02/24/17	J		
25. Muni Bond: Kane & DeKalb Cntys, Ill.Comm. Sch. Dist. 302		None	K	T	Buy	03/10/17	K		
26. Muni Bond: Deschutes Cnty Ore Admin Sch Dist No 1	A	Interest	J	T	Buy	08/24/17	J		
27. Muni Bond: Georgetown Tex Genl Oblig Ref 8/15/24		None	J	T	Buy	11/09/17	J		
28. Muni Bond: Georgetown Tex Genl Oblig Ref 08/15/27		None	J	T	Buy	11/09/17	J		
29. Muni Bond: Univ NC Charlotte Rev-A 10/01/30		None	K	T	Buy	12/07/17	K		
30. Checking: Chase Manhattan Bank NYC	A	Interest	K	T					
31. Fidelity Cash Reserves Account	A	Dividend	J	T					
32. Dreyfus MidCap Fund	B	Dividend	M	T	Sold (part)	02/22/17	L	E	
33. Fidelity Contrafund	A	Dividend	N	T					
34. Blackrock Global Allocation	C	Dividend	N	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. Morgan Stanley Global Long Short Fund A		None	J	T	Sold (part)	04/27/17	M		
36. Morgan Stanley Global Long Short Fund A		None	J	T	Sold (part)	07/25/17	L		
37. Morgan Stanley Global Long Short Fund A		None	J	T	Sold (part)	10/26/17	K		
38. Fidelity Low Priced Stock	D	Dividend	N	T	Sold (part)	02/22/17	K	D	
39. Vanguard Limited Term Tax Exempt Admiral	A	Dividend			Sold	02/22/17	K		
40. BBH Core Select Fund	B	Dividend	M	T					
41. SPDR S&P 500 ETF Trust Unit 1 Ser 1 S&P	C	Dividend	M	T					
42. Fidelity Total Mkt Indx Fid Premium Class	C	Dividend	N	T					
43. Blackrock Strategic Muni Opportunity Fund I	D	Dividend	M	T	Sold (part)	02/22/17	M		
44. Fidelity 500 Index Fund Premium Class	E	Dividend	O	T					
45. Glenmede Large Cap Core Institutional	C	Dividend	M	T	Sold (part)	02/22/17	K	C	
46. Deutsch Intermediate Tax /Amt Free Fund In	D	Dividend	M	T	Sold (part)	02/22/17	M		
47. Deutsch Intermediat Tax/Amt Free Fund In	D	Dividend	M	T	Buy (add'l)	08/03/17	M		
48. iShares iBoxx Investment Grade Corp Bond ETF	D	Dividend	N	T	Buy	02/21/17	N		
49. Fidelity MMKT Premium Class		None	M	T	Buy	12/29/17	M		
50. Cref Stock R3		None	M	T					

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

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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/ Dennis Jacobs**

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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