AO 10
Rev. 1/2011

# FINANCIAL DISCLOSURE REPORT
## FOR CALENDAR YEAR 2010

*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)**<br>Cabranes, Jose A. | **2. Court or Organization**<br>U.S. Court of Appeals - 2d Cir | **3. Date of Report**<br>08/19/2011 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)**<br>U.S. Circuit Judge (Active) | **5a. Report Type (check appropriate type)**<br>☐ Nomination, Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | **6. Reporting Period**<br>01/01/2010<br>to<br>12/31/2010 |
| **7. Chambers or Office Address**<br>U.S. Courthouse<br>141 Church Street<br>New Haven, CT 06510 | **8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.**<br><br>Reviewing Officer________ Date________ | |

***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. Sign on last page.***

## I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | Trustee | Columbia University |
| 2. | Trustee | William Nelson Cromwell Foundation |
| 3. | Member | Committee of the Institute for Constitutional Studies |
| 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


| Name of Person Reporting | Date of Report |
|---|---|
| Cabranes, Jose A. | 08/19/2011 |

## 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. | 2010 | University of Chicago Press (Royalites) |
| 2. | 2010 | Thomson-West (Royalties) |
| 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. | Federal Bar Assoc. and Historical Foundation of the Supreme Court of Puerto Rico | March 16-20, 2010 | San Juan, PR | Spouse and I participated in academic programs | Meals, cost of transportation to and from San Juan, PR, ground transportation and lodging for me and my spouse |
| 2. | Columbia University | March 12-13, 2010 | New York, NY | Attended Board of Trustees meetings | Meals and the cost of transportation to and from New York |
| 3. | Columbia University | June 11-12, 2010 | New York, NY | Attended Board of Trustees meetings | Meals and the cost of transportation to and from New York |
| 4. | William Nelson Cromwell Foundation | November 9, 2010 | New York, NY | Attended annual meeting of Trustees | One meal and cost of transportation to and from New York |

| | | | | | |
|---|---|---|---|---|---|
| 5. | Columbia University | December 9, 2010 | New York, NY | Participated at a Legal Scholarship Workshop | One night of lodging |
| 6. | Columbia University | December 10-11, 2010 | New York, NY | Attended Board of Trustees Meetings | Meals, lodging and the cost of transportation to and from New York |

| Name of Person Reporting | Date of Report |
|---|---|
| Cabranes, Jose A. | 08/19/2011 |

## 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. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Cabranes, Jose A. | 08/19/2011 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 1. Fidelity Asset Manager 50% | B | Dividend | L | T | | | | | |
| 2. CT Higher Education Trust | | None | J | T | | | | | |
| 3. CT Higher Education Trust | | None | L | T | | | | | |
| 4. Citizens Bank accounts | C | Interest | K | T | | | | | |
| 5. Vanguard Tax-Exempt Money Market Account | | None | J | T | | | | | |
| 6. Vanguard Life Strategy Con Growth Account | | None | M | T | Buy | 04/20/10 | K | | |
| 7. Vanguard Life Strategy Con Growth Account | | None | M | T | Buy | 12/28/10 | M | | |
| 8. Chase CD | C | Interest | | | Matured | 01/10/10 | M | C | |
| 9. Wells Fargo Asset Allocation C, f/k/a Evergreeen Serv. Co. | | None | J | T | | | | | |
| 10. TIAA-CREF Annuity (vested) | | None | J | T | | | | | |
| 11. TIAA-CREF Pension | | None | P1 | T | | | | | |
| 12. TIAA-CREF IRA | | None | K | T | | | | | |
| 13. Hartford Life & Annuity Ins. Co. (variable life ins. policy) | | None | K | T | | | | | |
| 14. Muni market: Nuveen MS Active Assets Tax-Free Trust | | None | J | T | | | | | |
| 15. Muni market: NPI Nuveen Premium INC MUN FD | | None | K | T | | | | | |
| 16. Muni market: Nuveen Conn DV ADV Muni Preferential Rate | C | Dividend | | | Sold | 02/04/10 | J | A | |
| 17. Muni market: Nuveen Conn DV ADV Muni Preferential Rate | C | Dividend | | | Sold | 03/01/10 | J | A | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | A =$1,000 or less | B =$1,001 - $2,500 | C =$2,501 - $5,000 | D =$5,001 - $15,000 | E =$15,001 - $50,000 |
| | F =$50,001 - $100,000 | G =$100,001 - $1,000,000 | H1 =$1,000,001 - $5,000,000 | H2 =More than $5,000,000 | |
| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | N =$250,001 - $500,000 | O =$500,001 - $1,000,000 | P1 =$1,000,001 - $5,000,000 | P2 =$5,000,001 - $25,000,000 | |
| | P3 =$25,000,001 - $50,000,000 | | P4 =More than $50,000,000 | | |
| 3. Value Method Codes (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
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| Cabranes, Jose A. | 08/19/2011 |

## VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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|---|---|---|---|---|---|---|---|---|---|
| 18. Muni market: Nuveen Conn DV ADV Muni Preferential Rate | C | Dividend | | | Sold | 03/02/10 | K | B | |
| 19. Muni bond: Puerto Rico Comwlth Hwy Transnauth | | None | L | T | Buy | 03/08/10 | L | | |
| 20. Muni market: Nuveen Conn DV ADV Muni Preferential Rate | C | Dividend | | | Sold | 03/19/10 | J | B | |
| 21. Muni market: Nuveen Conn DV ADV Muni Preferential Rate | C | Dividend | | | Sold | 03/22/10 | J | A | |
| 22. Muni market: Nuvenn Conn DV ADV Muni Preferential Rate | C | Dividend | | | Sold | 03/23/10 | K | B | |
| 23. Muni market: Nuveen Conn DV ADV Muni Preferential | C | Dividend | | | Sold | 03/31/10 | K | B | |
| 24. Muni market: Nuveen Conn. DV ADV Muni Preferential Rate | B | Dividend | | | Sold | 04/01/10 | K | B | |
| 25. Muni market: Nuveen Conn DVD ADV MUNI | D | Dividend | | | Sold | 04/09/10 | J | A | |
| 26. Muni market:Blackrock Muniyied Investment Preferential Rate | | None | K | T | Buy | 04/21/10 | K | | |
| 27. Muni market: Western Asset MNGD Municipals | | None | L | T | Buy | 04/21/10 | L | | |
| 28. Muni market: Columbia Tax Exempt C | | None | L | T | Buy | 05/24/10 | L | | |
| 29. Muni market: Nuveen Conn DV ADV Muni Preferential Rate | | None | J | T | Buy | 08/03/10 | J | | |
| 30. Muni market: Nuveen Conn DV ADV Muni | | None | J | T | Buy | 08/31/10 | J | | |
| 31. Muni market: Nuveen Conn DV ADV Muni Preferential Rate | | None | J | T | Buy | 09/17/10 | J | | |
| 32. Muni market: Nuveen Conn DV ADV Muni Preferential Rate | | None | K | T | Buy | 09/21/10 | K | | |
| 33. PBCT People's United Financial Inc. | B | Dividend | K | T | | | | | |
| 34. Morgan Stanley Roth IRA | | None | L | T | | 10/20/10 | L | | |

| | | | | | |
|---|---|---|---|---|---|
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|---|---|---|---|---|---|---|---|---|---|
| 35. -American Fundamental Inv F (AFIFX) | | | | | | | | | |
| 36. -Aston/Montag & Caldwell GRW N (MCGFX) | | | | | | | | | |
| 37. -Blackrock US Opportunities Svc (BMCSX) | | | | | | | | | |
| 38. -Calamos Convertible Fund A (CCVIX) | | | | | | | | | |
| 39. -Delaware LTD-Term Divers Inc A (DTRIX) | | | | | | | | | |
| 40. -E V Large Cap Value A (EHSTX) | | | | | | | | | |
| 41. -Eaton Vance Commodity Strat A (EACSX) | | | | | | | | | |
| 42. -Harding Loevner Emerg Mkts (HLEMX) | | | | | | | | | |
| 43. -ING Global Real Estate A (IGLAX) | | | | | | | | | |
| 44. -Janus Overseas A (JDIAX) | | | | | | | | | |
| 45. -Janus Perkins Mid Cap Value A (JDPAX) | | | | | | | | | |
| 46. -PIMCO Total Return A (PTTAX) | | | | | | | | | |
| 47. -Royce Premier Service (RPFFX) | | | | | | | | | |
| 48. -Templeton Global BD FD A (TPINX) | | | | | | | | | |
| 49. -Thornburg Intl Value A (TGVAX) | | | | | | | | | |
| 50. -Wells-Fargo Inflat-Prot BD ADM (IPBIX) | | | | | | | | | |
| 51. See Section VIII | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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|---|---|
| Cabranes, Jose A. | 08/19/2011 |

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

VII, 5: Vanguard money market funds redemptions were incorrectly reported in the initial filing for this reporting period as a total sale; in fact these were partial sales.

VII, 11: [redacted] university pension plan since 1984.

| Name of Person Reporting | Date of Report |
|---|---|
| Cabranes, Jose A. | 08/19/2011 |

## 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/ Jose A. Cabranes**

**NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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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Washington, D.C. 20544