AO 10
Rev. 1/2014

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2013

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)	2. Court or Organization	3. Date of Report
Katzmann, Robert A.	U.S. Court of Appeals for the 2nd Circuit	02/23/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final ☑ Amended Report	01/01/2013 to 12/31/2013
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. 9-11 of filing instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Director (unpaid)	[redacted]
2.	Lecturer	[redacted]
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 11-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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 on 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.	Pro Bono Institute	3/15/13	Washington, DC	Speaking engagement	transportation and food
2.	Berkeley School of Law	3/19/13 - 3/23/13	Berkeley, CA	Judging moot court at law school	transportation; lodging; food
3.	Boston College	4/4/13 - 4/5/13	Boston, MA	Judging moot court at law school	transportation; lodging; food
4.	Georgetown University	4/16/13 - 4/19/13	London, England	Board of Visitors meeting	transportation; lodging; food
5.	American Bar Association	5/14/13 - 5/14/13	Washington, DC	Speaking engagement	transportation and food
6.	Albany Law School	10/30/13 - 10/30/13	Albany, NY	Speaking engagement	transportation and food

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.			

VII. INVESTMENTS and TRUSTS - *income, value, transactions (includes those of spouse and dependent children; see pp. 34-48 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)	(2) Type (e.g., div., rent, or int.)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	(2) Date mo/da/yr	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1.	TIAA/CREF Pension	E	Dividend	O	T					
2.	- TIAA traditional IRA					Buy (add'l)	07/23/13	M		
3.	- Brookings Inst. DC retirement Plan									
4.	- Georgetown University defined contribution retirement plan									
5.	TIAA/CREF SRA - NYU supplemental tax deferred annuity plan	A	Dividend	J	T					
6.	VANGUARD NY LT - tax exempt fund	C	Dividend			Sold	07/23/13	L	A	TIAA/CREF Money Market
7.	TIAA/CREF Money Market		None	L	T	Buy	07/23/13	L		
8.	Chase Manhattan Bank	A	Interest	J	T					
9.	VANGUARD 403 (B)(7)	E	Dividend							
10.	- Explorer Fund					Sold	07/23/13	J		
11.	- Index Fund (500 fund)					Sold	07/23/13	M		
12.	- International					Sold	07/23/13	J		
13.	- High Yield					Sold	07/23/13	K		
14.										
15.										
16.										
17.										

1. Income/Asset Codes (See Columns B1 and C1)	A - $1,200 or less B - $1,201 - $2,500	E - $15,001 - $50,000 F - $50,001 - $100,000	I - $1,001 - $2,500 J - $2,501 - $15,000	M - $15,001 - $50,000 N - $50,001 - $100,000	S - $1,000,001 - $5,000,000 T - $5,000,001 - $25,000,000
2. Value Codes (See Columns C1 and D3)	C - $2,501 - $15,000 D - $15,001 - $50,000	G - $100,001 - $250,000 H1 - $250,001 - $500,000	K - $100,001 - $250,000 L - $250,001 - $500,000	O - $100,001 - $250,000 P1 - $500,001 - $1,000,000	U - $25,000,001 - $50,000,000 V - Over $50,000,000
3. Value Method Codes (See Column C2)	H2 - Over $1,000,000 Q - Appraisal R - Cost (Real Estate Only) S - Assessment T - Cash Market U - Book Value V - Other W - Estimated				

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

With regard to part VII, please note complete rollover in 2013 of fiduciaries from Vanguard to TIAA-CREF.

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is true, complete and correct 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/ Robert A. Katzmann

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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