AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Cabranes, Jose A.	U.S. Court of Appeals	06/13/2022
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**
Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021

7. Chambers or Office Address

U.S. Courthouse
141 Church Street
New Haven, CT 06510

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	William Nelson Cromwell Foundation, New York, NY
2.	Member	Academic Advisory Committee of the Institute for Constitutional Studies, The George Washington University, Washington, DC
3.	Honorary Fellow	Academia Puertorriquena de Jurisprudencia y Legislacion, San Juan, PR
4.	Member	External Advisory Board, Colgate University's Center for Freedom and Western Civilization, Hamilton, NY
5.	Advisor	Restatement of the Law Fourth-Property, American Law Institute, Philadelphia, PA
6.	Member	Advisory Panel on the Chicago Principles on Freedom of Expression, American Council of Trustees and Alumni, Washington, DC
7.	Member	Board of Editors, Journal of Free Speech (Prof. Eugene Volokh, Editor-in-Chief, c/o UCLA School of Law, Los Angeles, CA)
8.	Note:	Note: No income of any kind was derived from any of the positions or services or activities noted above.
9.		
10.		

Name of Person Reporting	Date of Report
Cabranes, Jose A.	06/13/2022

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2021	University of Chicago Press (Royalties)
2.	2021	Thomson-West (Royalties)
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Cabranes, Jose A.	06/13/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

	A	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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)	
1.	CITIZENS BANK ACCOUNTS	A	Interest	K	T					
2.	TIAA BANK BROKERAGE SWEEP ACCT (X)	A	Interest	K	T					
3.	BERNSTEIN DIVERSIFIED (SNDPX)	A	Dividend	K	T					
4.	FIDELITY ADVISOR EMERGING MARKETS INCOME FUND CLASS I (FMKIX)		None			Sold				See comment in Part VIII.
5.	FRANKLIN HIGH YIELD TAX FREE INCOME FUND ADVISOR CLASS (FHYVX)		None			Sold				See comment in Part VIII.
6.	WELLS FARGO ULTRA SHORT TERM MUNI INCOME FD CL I (SMAIX)	A	Dividend	K	T					
7.	ISHARES TR RUSSELL MID-CAP VALUE ETF (IWS)	C	Dividend	M	T					
8.	ISHARES TR RUSSELL MID-CAP GROWTH ETF (IWP)	A	Dividend	M	T					
9.	ISHARES TR RUSSELL 1000 VALUE ETF (IWD)	C	Dividend	N	T					
10.	ISHARES TR RUSSELL 2000 VALUE ETF(IWN)	A	Dividend	K	T					
11.	ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	K	T					
12.	ISHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	B	Dividend	L	T					
13.	Ishares Inc Core MSCI Emerging Mkts ETF (IEMG)	C	Dividend	M	T					
14.	Mainstay MaKay Tax Free Bond Fund Class I (MTBIX)	D	Dividend	N	T					
15.	Wells Fargo Municipal Bond Fund Institutional Class (WMBIX)	D	Dividend	N	T					
16.	IShares TR Core MISCIEAFE ETF (IEFA)	D	Dividend	N	T					

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		

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Cabranes, Jose A.	06/13/2022

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☐ NONE *(No reportable income, assets, or transactions.)*

A		B		C		D				
Description of Assets (including trust assets)		Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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)	
17.	TIAA-CREF Large Cap Index Fund Institutional Class (TILIX)	D	Dividend	L	T					
18.	IShares TR Russell 1000 Growth ETF (IWF)	B	Dividend	N	T					
19.	TIAA-CREF ANNUITY (fixed, non-variable)	D	Int./Div.							See comment in Part VIII
20.	TIAA-CREF PENSION (YURAP)	E	Int./Div.	P1	T					
21.	-TIAA Traditional	F	Int./Div.	P1	T					
22.	-TIAA Traditional	D	Int./Div.	N	T					
23.	-TIAA Traditional	D	Int./Div.	N	T					
24.	-T-C Intl Eq.Inst (TIIEX)		Int./Div.		T					See comment in Part VIII
25.	-TIAA Real Estate (QREARX)		None	M	T					See comment in Part VIII
26.	-T-C Lifecycle 2015-Inst (TCNIX)		Int./Div.		T					See comment in Part VIII
27.	-Vanguard Total Stock Market Index Fund Institutional Plus (VSMPX)	A	Int./Div.	L	T					
28.	-Vanguard Total Stock Market Index Fund Institutional Plux (VSMPX)	A	Int./Div.	K	T					
29.	TIAA-CREF ROTH IRA		None	M	T					See comment in Part VIII
30.	-TIAA Real Estate (QREARX)		None	M	T					See comment in Part VIII
31.	VANGUARD LIFE STRATEGY CONSERVATIVE Portfolio (VSCGX)	C	Dividend	N	T					
32.						Buy	03/02/21	K		
33.						Buy	07/01/21	K		

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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

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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34.					Buy	08/31/21	L		
35.					Sold (part)	09/15/21	J		
36.					Buy	12/02/21	K		
37. VANGUARD BROKERAGE ACCOUNT			K	T					
38. - VBTLX	A	Dividend	J	T					
39.					Sold (part)	06/30/21	J		
40. - VTABX	A	Dividend	J	T					
41.					Sold (part)	06/30/21	J		
42. - VTIAX	A	Dividend	J	T					
43.					Sold (part)	06/30/21	J		
44.					Buy	06/30/21	J		
45.					Buy	06/30/21	J		
46.					Sold (part)	07/28/21	J		
47.					Sold (part)	08/27/21	J		
48.					Sold (part)	09/28/21	J		
49.					Sold (part)	10/28/21	J		
50.					Sold (part)	11/26/21	J		

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
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☐ 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)	
51.					Sold (part)	12/28/21	J		
52. -VTSAX	A	Dividend	J	T					
53.					Sold (part)	02/26/21	J		
54.					Sold (part)	03/26/21	J		
55.					Sold (part)	04/27/21	J		
56.					Sold (part)	05/27/21	J		
57.					Sold (part)	06/25/21	J		

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

Part VII. Investments and Trusts, Line 4: This stock (FMKIX) was sold and merged with FGZMX on 12/10/18. FGZMX was sold on 4/23/19 and reported as such. FMKIX should not have been reported last year as it no longer exists.

Part VII, Investments and Trusts, Line 5: This stock (FHYVX) was reported "sold in part" on 2/6/17 and 4/5/17, which therefore was sold in its entirety. Therefore, it should not have been reported in subsequent years.

Part VII, Investments and Trusts, Line 19: This line represents two annuity contracts which were "annuitized" in May 1981. Since that time, they have not had account balances and therefore, have no value.

Part VII, Investments and Trusts, Lines 24 and 26: These two funds, which were part of [redacted] Yale University Retirement Account Plan (YURAP), were automatically reallocated by the Yale Pension Plan into TIAA Traditional funds on 2/8/19, and therefore have been reported under that fund since 2/8/19---that is, not properly reportable separately after that date.

Part VII, Investments and Trusts, Lines 25 and 30: These two holdings do not derive income or interest/dividends; they generate "market gains."

Part VII, Investments and Trusts, Line 29: This Roth IRA Account has only one holding, which is reported at Line 30.

Name of Person Reporting	Date of Report
Cabranes, Jose A.	06/13/2022

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 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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544