AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Cabranes, Jose A.	U.S. Court of Appeals for the Second Circuit	07/29/2024
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**
Circuit Judge - Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
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
2.	Member	Academic Advisory Committee of the Institute for Constitutional Studies, George Washington University
3.	Honorary Fellow	Academia Puertorriquena de Jurisprudencia y Legislacion
4.	Member	External Advisory Board, Colgate University's Center for Freedom and Western Civilization
5.	Advisor	Restatement of the Law Fourth-Property, American Law Institute
6.	Member	Advisory Panel on the Chicago Principles on Freedom of Expression
7.	Member	Board of Editors, Journal of Free Speech

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.	2023	University of Chicago Press (Royalties)
2.	2023	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.	07/29/2024

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. 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)	
1.	Individual Assets (H)									
2.	Citizens Bank (cash)	A	Interest	M	T					
3.	Account #1 (H)									
4.	TIAA Bank (cash)	A	Interest	J	T					
5.	AB Diversified Municipal Portfolio (SNDPX)	A	Dividend	J	T					
6.	MainStay MacKay Tax Free Bond Fund Class I (MTBIX)	C	Dividend			Sold	09/11/23	M		
7.	TIAA-CREF Large Cap Growth Index Fund (TILIX)	A	Dividend	K	T					
8.	Allspring Ultra Short-Term Municipal Income Fund Inst Class (SMAIX)	A	Dividend	J	T					
9.	Allspring Municipal Bond Fund Inst Class (WMBIX)	C	Dividend	M	T					
10.	iShares Russell Mid-Cap Value ETF (IWS)	B	Dividend	L	T					
11.	iShares Russell Mid-Cap Growth ETF (IWP)	A	Dividend	K	T					
12.	iShares Russell 1000 Value ETF (IWD)	A	Dividend			Sold	09/11/23	M	E	
13.	iShares Russell 1000 Growth ETF (IWF)	A	Dividend			Sold	09/11/23	M	G	
14.	iShares Russell 2000 Value ETF (IWN)	A	Dividend	J	T					
15.	iShares Russell 2000 Growth ETF (IWO)	A	Dividend	J	T					
16.	iShares MSCI EAFE Small Cap ETF (SCZ)	A	Dividend	K	T					
17.	iShares TR Core MSCI EAFE ETF (IEFA)	B	Dividend			Sold	09/11/23	M	D	

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
Cabranes, Jose A.	07/29/2024

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. 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)	
18. iShares Core MSCI Emerging Markets ETF (IEMG)	A	Dividend			Sold	09/11/23	K		
19. Account #2 (H)									
20. Vanguard Federal Money Market Fund (VMFXX) (cash eq.)	A	Dividend			Buy	05/01/23	N		
21.					Sold	05/09/23	N		
22. Vanguard Total International Stock Index Fund Admiral (VTIAX) (Y)									
23. Vanguard LifeStrategy Conservative Growth Fund (VSCGX)	C	Dividend			Buy (add'l)	02/27/23	L		
24.					Sold (part)	03/13/23	L		
25.					Sold (part)	04/28/23	M		
26.					Sold (part)	05/23/23	L		
27.					Sold	09/11/23	M		
28. JPMorgan Chase Bank (cash)		None	N	T	Open	05/02/23	N		
29. Account #3 (H)									
30. TIAA Bank (cash)	A	Interest	L	T					
31. Western Alliance Bank (cash)	B	Interest			Open	06/01/23	M		
32.					Redeemed	09/06/23	M		
33. AB Diversified Municipal Portfolio (SNDPX)	A	Dividend	J	T					
34. MainStay MacKay Tax Free Bond Fund Class I (MTBIX)	C	Dividend			Sold	09/18/23	M		

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	
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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)	
35. TIAA-CREF Large Cap Growth Index Fund (TILIX)	A	Dividend	L	T					
36. Allspring Ultra Short-Term Municipal Income Fund Inst Class (SMAIX)	A	Dividend	J	T					
37. Allspring Municipal Bond Fund Inst Class (WMBIX)	C	Dividend			Sold	09/18/23	M		
38. iShares Russell Mid-Cap Value ETF (IWS)	B	Dividend	M	T					
39. iShares Russell Mid-Cap Growth ETF (IWP)	A	Dividend	L	T					
40. iShares Russell 1000 Value ETF (IWD)	C	Dividend	M	T					
41. iShares Russell 1000 Growth ETF (IWF)	B	Dividend	M	T					
42. iShares Russell 2000 Value ETF (IWN)	A	Dividend	K	T					
43. iShares Russell 2000 Growth ETF (IWO)	A	Dividend	K	T					
44. iShares MSCI EAFE Small Cap ETF (SCZ)	A	Dividend	K	T					
45. iShares TR Core MSCI EAFE ETF (IEFA)	C	Dividend	M	T					
46. iShares Core MSCI Emerging Markets ETF (IEMG)	B	Dividend	L	T					
47. Account #4 (H)									
48. TIAA Traditional		None	P1	T	Buy (add'l)	01/31/23	J		
49.					Buy (add'l)	02/27/23	J		
50.					Buy (add'l)	03/31/23	J		
51.					Buy (add'l)	04/28/23	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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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52.					Buy (add'l)	05/31/23	J		
53.					Buy (add'l)	06/30/23	J		
54.					Buy (add'l)	07/31/23	J		
55.					Buy (add'l)	08/31/23	J		
56.					Buy (add'l)	09/29/23	J		
57.					Buy (add'l)	10/31/23	J		
58.					Buy (add'l)	11/30/23	J		
59.					Buy (add'l)	12/21/23	J		
60.	Vanguard Total Stock Market Index Fund Inst. Plus (VSMPX)	B	Dividend	L	T				
61.	TIAA Real Estate (QREARX)		None	M	T				
62.	Account #5 (H)								
63.	TIAA Traditional		None	N	T				
64.	Account #6 (H)								
65.	TIAA Traditional		None	N	T	Buy (add'l)	01/31/23	J		
66.						Buy (add'l)	02/27/23	J		
67.						Buy (add'l)	03/31/23	J		
68.						Buy (add'l)	04/28/23	J		

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69.					Buy (add'l)	05/31/23	J		
70.					Buy (add'l)	06/30/23	J		
71.					Buy (add'l)	07/31/23	J		
72.					Buy (add'l)	08/31/23	J		
73.					Buy (add'l)	09/29/23	J		
74.					Buy (add'l)	10/31/23	J		
75.					Buy (add'l)	11/30/23	J		
76.					Buy (add'l)	12/21/23	J		
77.	Vanguard Total Stock Market Index Fund Inst. Plus (VSMPX) (X)	A	Dividend	K	T				
78.	Account #7 (H)								
79.	TIAA Real Estate (QREARX) (X)		None			Sold	06/01/23	M		
80.	TIAA Traditional		None	M	T	Buy	06/01/23	M		

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value.

TIAA-CREF Pension (YURAP) was previously reported as an asset rather than a header. It has been removed from this report to avoid duplicate reporting. This is not indicative of a change of assets or reportable transactions.

Name of Person Reporting	Date of Report
Cabranes, Jose A.	07/29/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544