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
Calabresi, Guido	U.S. Court of Appeals, 2nd Cir	07/18/2022
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**
U.S. Court of Appeals Judge, Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021

7. Chambers or Office Address

U.S. Court of Appeals, 2nd Cir
157 Church Street
New Haven, CT 06510-2030

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.	Sterling Professor Emeritus, Professorial Lecturer	Yale Law School, 11/01/1995 - present
2.	Honorary Trustee - Unpaid	Carolyn Foundation, MN, 01/01/1996 - present
3.	Member, Scientific Committee- Unpaid	Centro Nazionale Prevenzione e Difesa Sociale, 1988 - present
4.	Member - Unpaid	International University College, Turin Board, 2007 - present
5.		

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.	Present	Right to be Professorial Lecturer, Yale University, upon retirement (See Attachments A and B)
2.	Present	Right to use accumulated (approximately $500) research and travel fund, Yale University, even after retirement
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.	2021	Yale University - part-time teaching	$164,781.00
2.	2021	Yale University Press - royalties for previously written books	$435.75
3.	2021	W.W. Norton & Co. - royalties for previously written book	$227.04
4.	2021	Harvard University Press - royalties for previously written book	$192.84

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.		
2.		
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.	Yale University Law School	09/08/21	New Haven, CT	Lecture	Travel
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
Calabresi, Guido	07/18/2022

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 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)	
1.	Mass Mutual (whole life) Insurance	A	Dividend	L	T					
2.	New York Life (whole life) Insurance	A	Dividend	L	T					
3.	AIG Sun America (whole life) Insurance		None	J	T					
4.	Graduate Club Association Bond	A	Interest	J	T					
5.	Bank of America checking account	A	Interest	M	T					
6.	Bank of America IMMA account	A	Interest	J	T					
7.	Intesasanpaolo	A	Interest	J	T					
8.	Merrill Lynch Bank & Trust USA - cash	A	Interest	M	T					
9.	American Growth Fund Mutual Fund @ Merrill Lynch	A	Distribution	L	T	Donated (part)				
10.	Trust #1, income beneficiary(H)									
11.	--Fidelity International Index Fund	D	Dividend	N	T					
12.	--First Am. Tax Free Oblig Fund (cash equiv.)	A	Interest	N	T					
13.	--Vanguard International Growth Fund (mutual fund)	C	Dividend	N	T					
14.	--Calvert US Mid Cap Core RSPNB Index	D	Dividend	P1	T	Buy	04/16/21	P1		
15.	--General Mills (common)	G	Dividend			Sold	04/06/21	P2	H2	
16.	--AMG GW&K Trilogy Emerging Growth (mutual fund)	A	Dividend	M	T					
17.	--American Funds: Investment Co. of America (mutual fund)	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

Name of Person Reporting	Date of Report
Calabresi, Guido	07/18/2022

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)	
18. --Ishares Russell 1000 Growth	E	Dividend	P1	T	Buy	04/16/21	P1		
19. --Vanguard FTSE Social Index Fund	E	Dividend	P1	T	Buy	04/16/21	P1		
20. Trust #2, income beneficiary(H)									
21. --Calvert Mid Cap (mutual fund)	B	Dividend	N	T					
22. --Boston Trust Walden Small Cap (mutual fund)	B	Dividend	M	T					
23. --First Am. Tax Free Oblig. Fund (cash equiv.)	A	Interest	N	T					
24. --American Funds: Investment Co. of America (mutual fund)	E	Dividend	P1	T					
25. --Minnesota Mining & Mfg. (common)	F	Dividend	P1	T					
26. --AMG GW&K Trilogy Emerging Growth (mutual fund)	A	Dividend	M	T					
27. --Fidelity International Index (mutual fund)	D	Dividend	N	T					
28. --Victory Trivalent International Small Cap (mutual fund)	C	Dividend	M	T					
29. --Vanguard International Growth (mutual fund)	B	Dividend	N	T					
30. Trust #3, income beneficiary(H)									
31. --ML Bank Deposit Program - insured savings account	A	Interest	O	T					
32. --ISA Truist FKA BB&T - insured savings account	A	Interest	J	T					
33. --ISA FIRSTBANK PR - insured savings account	A	Interest	M	T					
34. --ISA Santander BK, NA - insured savings account	A	Interest	M	T					

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	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	
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35. --ISA Synovus Bank - insured savings account	A	Interest	L	T					
36. --ISA Sallie Mae Bank - insured savings account	A	Interest	M	T					
37. --ISA Bank of America NA - insured savings account	A	Interest	M	T					
38. --ISA State Bank India - insured savings account	A	Interest	M	T					
39. --ISA Banco Popular PR - insured savings account	A	Interest	M	T					
40. --ISA Customers Bank - insured savings account	A	Interest	M	T					
41. --ISA Bank of Baroda - insured savings account	A	Interest	K	T					
42. --ISA Bank of China - insured savings account	A	Interest	M	T					
43. --ISA BMW BK N America - insured savings account	A	Interest	M	T					
44. --ISA People's United - insured savings account	A	Interest	M	T					
45. --ISA Mizuho Bank (USA) - insured savings account	A	Interest	M	T					
46. --ISA First Republic Bank - insured savings account	A	Interest	M	T					
47. --ISA Toyota Financial - insured savings account	A	Interest	M	T					
48. --Darden Restaurants (common)	F	Dividend	P1	T					
49. --Four Corners Property Trust	D	Dividend	N	T					
50. --Exxon (common)	D	Dividend	L	T					
51. --General Mills (common)	G	Dividend	P1	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
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52. --IBM (common)	C	Dividend	L	T					
53. --JP Morgan (common)	D	Dividend	M	T					
54. --AT&T Inc. (common)	C	Dividend	K	T					
55. --US Bancorp (common)	D	Dividend	M	T					
56. --American Funds: Invesment Co. of America (mutual fund)	F	Dividend	P2	T					
57. --IShares Core S&P 500ETF	E	Dividend	P1	T					
58. --Am. Growth Fund (mutual fund)	E	Dividend	P2	T					
59. --Kyndryl Holdings (common)	A	Dividend	J	T	Spinoff (from line 52)	11/03/21	J		
60. --Am. Euro Pacific Growth Fund (mutual fund)	E	Dividend	P1	T					
61. Trust #4, income beneficiary(H)									
62. --Merrill Lynch Bank USA - CMA Money Fund (cash equiv.)	A	Interest	N	T					
63. --I Shares T S&P 500 (mutual fund)	F	Dividend	P1	T					
64. --Bank of America (common)	D	Dividend	N	T					
65. Trust #5, income beneficiary(H)									
66. --Cash (Davis, O'Sullivan & Priest, Trustee Account)	A	Interest	K	T					
67. --Morgan Stanley Emerging Market Fd. (mutual fund)	D	Dividend	P1	T					
68. Guido Calabresi Retirement, TIAA-CREF - Fixed Annuity(H)									

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69. --TIAA Traditional (Annuity)	G	Distribution	N	T					
70. --TC Life Cycle 2010- Inst	C	Distribution	J	T					
71. Trust #6, income beneficiary(H)									
72. --Yale Equity Fund (mutual fund)	E	Dividend	P1	T					
73. --Yale Fixed Income Fund (mutual fund)	C	Interest	N	T					
74. American Funds: Investment Co. of America (mutual fund)	A	Dividend	J	T					
75. SPDR SER TR S&P 500 Growth ETF (Roth IRA account)	F	Distribution	P2	T					
76. SPDR SER TR SPDR S&P 1000 ETF (Roth IRA account)	F	Distribution	P1	T					
77. SPDR SER TR S&P 600 Small Cap ETF (Roth IRA account)	F	Distribution	P1	T					
78. Bank of America Corp - @ Merrill Lynch	C	Dividend	M	T					
79. Citigroup @ Merrill Lynch	C	Dividend	M	T					
80. IShares Russell 1000 - @ Merrill Lynch	A	Dividend	M	T	Buy	12/15/21	M		

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

Part 1. POSITIONS

Line 4- Assets of the Carolyn Foundation are not listed because my position as Trustee is "Honarary" only. I have no functional responsibilities with regard to the foundation.

Part VII INVESTMENTS AND TRUSTS

Trusts #3, #4, and #5 in Part VII (Assets #30, #61, and #65) did not distribute any income to me or an immediate family member during 2021. Income was earned and not distributed. Assets #68, #75, #76, and #77 distributed income in an unknown amount during 2021 as part of a retirement distribution taken.

Trust #6 (Asset #71) in Part VII is a Charitable Remainder Unitrust established in 1995 by a family member and me. The family member and I are 5.5% income beneficiaries during our lives or 20 years, whichever is longer. The trustee is instructed to invest the money in widely diversified mutual or money market funds.

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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/ Guido Calabresi

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