AO 10
Rev. 1/2021

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
Jacobs, Dennis	Court of Appeals, Second Circuit	05/03/2022
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**
Circuit 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. Courthouse 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. 9-13 of filing instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Director and Vice-President	Residential Cooperative
2.		
3.		
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.		

Name of Person Reporting	Date of Report
Jacobs, Dennis	05/03/2022

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.		
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.					
2.					
3.					
4.					
5.					

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
Jacobs, Dennis	05/03/2022

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		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)	(5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Chase Bank (cash)	A	Interest	N	T					
3. Account #1 (H)									
4. Fidelity Government (FDRXX) (cash equivalent)	A	Dividend	K	T					
5. Fidelity Total Market Index Fd (FSKAX)	D	Dividend	O	T	Sold (part)	11/03/21	L	E	
6. Fidelity 500 Index Fd (FXAIX)	D	Dividend	O	T	Sold (part)	05/26/21	M	F	
7. Fidelity Contrafund (FCNTX)	E	Dividend	N	T	Sold (part)	05/26/21	M	F	
8. Akre Focus Fd Indl (AKRIX)	D	Dividend	N	T	Sold (part)	11/03/21	L	E	
9. Ishares Core S&P Total US Stock ETF (ITOT)	D	Dividend	O	T					
10. Ishares S&P Midcap 400 Index Fund (IJH)	B	Dividend	M	T	Buy	05/27/21	M		
11. Ishares Russell 1000 Growth ETF (IWF)	B	Dividend	N	T					
12. SPDR S&P 500 Trust (SPY)	D	Dividend	N	T					
13. SPDR Portfolio S&P Value Etf (SPYV)	A	Dividend	M	T	Buy	05/27/21	M		
14. Ishares Tr Ultr Blackrock Sh Trm Bd (ICSH)	B	Dividend	O	T	Buy (add'l)	01/28/21	N		
15.					Buy (add'l)	11/04/21	L		
16. Ishares Tr 0-3 Mnth Treasry (SGOV)	A	Dividend	N	T	Sold (part)	01/28/21	N		
17.					Sold (part)	09/07/21	N		

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
Jacobs, Dennis	05/03/2022

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)
18. JP Morgan Exchange Traded Fd (JPST)	C	Dividend	O	T	Buy (add'l)	01/28/21	N		
19.					Buy (add'l)	11/04/21	L		
20. Account #2 (H)									
21. CREF Stock R3 (CREF Q089445-4)		None	M	T	Sold (part)	03/11/21	J		
22. Account #3 (H)									
23. Morgan Stanley Bank (cash)	A	Interest	M	T					
24. Account #4 (H)									
25. Morgan Stanley Bank (cash)	A	Interest	K	T					
26. Ishares Tr 0-3 Mnth Treasury B (SGOV)	A	Dividend			Sold	05/20/21	L		
27. Ishares S Trm Nat Mun BD ETF (SUB)	B	Dividend	M	T	Buy	05/25/21	N		
28. Account #5 (H)									
29. Ishares Tr 0-3 Mnth Treasry (SGOV)	A	Dividend			Sold	05/20/21	K		
30. Ishares S Trm Nat Mun Bd ETF (SUB)	A	Dividend	M	T	Buy	05/25/21	M		
31. Account #6 (H)									
32. Morgan Stanley Bank (cash)	A	Interest			Closed	02/24/21	J		
33. Fidelity Treasury Money Market Fund (FZFXX) (cash equiv.)	A	Dividend	K	T	Buy	02/24/21	J		
34. City of Chicago Chicago O'Hare Intl Airp Non-Amt Rev Ref-B (167593QX3)	A	Interest			Redeemed	01/05/21	J		

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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)	(5) Identity of buyer/seller (if private transaction)
35. Cypress-Fairbanks Tex Indpt Sch Dist Sch Bldg Ref Psf-Gtd (232760Y36)	A	Interest			Redeemed	02/16/21	K		
36. Pike Twp Ind Multi-Sch Bldg Corp First Mrtge Rev (72130PCJ3)	A	Interest	J	T					
37. Columbia S C Wtrwks & Swr Sys Rev Ref (198504UQ3)	B	Interest	K	T					
38. Trinity River Auth Tex Regl Wastewtr Sys Id (89658HUP3)	A	Interest	J	T					
39. Knoxville Tenn Elec Rev Sys Ref Bds Ser. (499746M69)		None	K	T	Buy	04/19/21	K		
40. Ohio St Univ Ben Rcpts Rev-D (677632ZD6)	A	Interest	K	T					
41. St Charles Mo Cmnty College GE (85227LCG4)	A	Interest	K	T	Buy	02/17/21	K		
42. College Station Tex Impt Genl Ob (194469FJ6)	A	Interest	K	T	Buy	02/17/21	K		
43. Georgetown Tex Genl Oblig Ref (373029HX8)	A	Interest			Sold	03/18/21	J	A	
44. Washington St Univ Revs (9400933P0)	B	Interest			Redeemed	10/01/21	K		
45. Charlotte N C Genl Oblig Ref-A (161035FQ8)	B	Interest	K	T					
46. Kane & De Kalb Cntys Ill Cmnty Unit Sch Dist No 301 (483764JZ0)	A	Interest			Sold	12/07/21	K	B	
47. Irving Tex Indpt Sch Dist Ref-A Psf-Gtd Id (463813ZN8)	A	Interest	J	T					
48. Harbor Beach Mich Cmnty Sch Dist Ref (411477CG5)	A	Interest	J	T					
49. Maryland St Transn Auth Trans Facs (574300MU0)		None	J	T	Buy	04/07/21	J		
50. Central Dauphin Pa Sch Dist (153300XQ6)	A	Interest	J	T					
51. Lancaster Cnty Pa Genl Oblig Ref-A (514040P65)	A	Interest	J	T					

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52. Georgetown Tex Genl Oblig Ref (373029JB4)	A	Interest			Sold	03/18/21	J	A	
53. Virginia Commlth Transn Brd Fe D Trasn Grnt Antic Nts (92778UCB4)	A	Interest	K	T					
54. Central Dauphin Pa Sch Dist (153300YB8)	A	Interest	J	T					
55. Lancaster Cnty Pa Genl Oblig Ref-A (514040P73)	A	Interest	K	T					
56. Texas St Univ Sys Fing Ref-A (88278PYJ7)	A	Interest	J	T					
57. Tillamook & Yamhill Cntys Sch Dist No 101 Nestucca Vy Ser-B (886791CF7	A	Interest	K	T					
58. Pasco Cnty Fla Sch Brd Ctfs Partn Rev Ref-D (702528LX6)	A	Interest	J	T					
59. University N C Charlotte Rev-A (914716K20)	A	Interest	K	T					
60. Georgia St Hsg & Fin Auth Rev (37353PFY0)	A	Interest	J	T					
61. New York St Dorm Auth Sales Tax St Supported Debt Rev-C (64990AJV8)	A	Interest	J	T					
62. Dover PA Area Sch Dist (260358NW2)	B	Interest	K	T					
63. Georgia St Ports Auth Rev Bds Ser (373586GD2)		None	K	T	Buy	11/04/21	K		
64. North Carolina St St Ltd Oblig (65829QDP6)	A	Interest	J	T					
65. New York N Y (64996QPU8)	A	Interest	J	T					
66. Austin Tex Pub Impt Genl Oblig Ref (052397ST4)	A	Interest	K	T					
67. Port Auth N Y & N J Consolidated Rev (73358W6J8)	A	Interest	J	T	Buy	01/08/21	J		

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Jacobs, Dennis	05/03/2022

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, per page 42 of the filing instructions.

Parenthetical numbers in Part VII are CUSIP numbers.

Name of Person Reporting	Date of Report
Jacobs, Dennis	05/03/2022

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/ Dennis Jacobs**

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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Washington, D.C. 20544