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
Livingston, Debra A.	U.S. Court of Appeals for the Second Circuit	05/15/2022
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**
United States Circuit Judge. Active status.	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	1/1/2021 **to** 12/31/2021
7. Chambers or Office Address		
United States Courthouse 40 Foley Square New York, New York 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 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.	Paul J. Kellner Professor of Law	Columbia Law School
2.	Uncompensated Trustee (co-trustee with [redacted])	Trust fbo relative ("Trust 5J")
3.	Uncompensated Trustee (co-trustee with [redacted])	Trust fbo relative ("Trust 5S")
4.	Uncompensated Trustee	[redacted] Trust #1 (n.1)
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.	2/1999	Wolters-Kluwer Law & Business|Aspen Publishers. Royalty payments on sales of co-authored case book, Comprehensive Criminal Procedure
2.	1992	See Part VIII. Additional Information.
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.	4/1/2021	Wolters-Kluwer Law & Business|Aspen Publishers (royalties)	$12,509.38
2.	9/27/2021	Wolters-Kluwer Law & Business|Aspen Publishers (royalties)	$1,978.61
3.	2021	Columbia Law School (salary)	$24,888.00
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.		
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.					
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
Livingston, Debra A.	05/15/2022

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.	Citibank cash accounts	A	Interest	N	T					
2.	Bank of America cash account		None	K	T					
3.	==========(H)									
4.	CREF Stock Fund		None	M	T					
5.	Fidelity Contrafund K	E	Dividend	N	T					
6.	Fidelity Convertible Security	E	Dividend	M	T					
7.	Fidelity Growth Co K	E	Dividend	N	T					
8.	Fidelity Equity Div Inc	C	Dividend	K	T					
9.	Fidelity Magellan	D	Dividend	M	T					
10.	TIAA Real Estate		None	M	T					
11.	TIAA Traditional Annuity		None	L	T					
12.	==========(H)									
13.	U.S. Savings Bonds		None	J	T					
14.	==========(H)									
15.	Vanguard VASGX LifeStrategy Growth (122) Portfolio	D	Dividend	M	T					
16.	==========(H)									
17.	Vanguard VBIAX Balanced Index (0502)	C	Dividend	L	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
Livingston, Debra A.	05/15/2022

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.	==========(H)									
19.	Vanguard VWENX Wellington Admiral (0521)	E	Dividend	N	T	Sold (part)	01/04/21	K	B	
20.	Vanguard VWUAX U.S. Growth (0523)	G	Dividend	P1	T	Sold (part)	01/04/21	K	D	
21.	Vanguard VSMAX Small Cap Admiral (0548)	C	Dividend	N	T	Sold (part)	01/04/21	K	E	
22.	Vanguard VWILX Int'l Growth Admiral (0581)	D	Dividend	N	T	Sold (part)	01/04/21	K	D	
23.	Vanguard VGIAX Growth & Income Admiral (0593)	F	Dividend	O	T	Sold (part)	01/04/21	K	D	
24.	==========(H)									
25.	Vanguard High-Yield Corp F Admiral (0529)	B	Dividend	K	T					
26.	Vanguard VWILX Int'l Growth Fund Admiral (0581)	E	Dividend	L	T					
27.	Vanguard Instit'l Index F Inst'l Shares (0854)	E	Dividend	O	T					
28.	Vanguard Inst'l Target Retirement 2025 (1665)	D	Dividend	N	T					
29.	Vanguard Real Estate Index Inst'l Shares (3123)	C	Dividend	M	T					
30.	Vanguard Infl-Protected Securities F Inst'l Shares (5119)	C	Dividend	L	T					
31.	========Trusts 5J & 5S (H)									
32.	Vanguard VWENX Wellington Admiral	F	Dividend	O	T	Sold (part)	04/05/21	J	C	
33.	=========Trust 6F (n.2) (H)									
34.	Vanguard VWIAX Wellesley Income Fund	E	Dividend	N	T	Sold (part)	03/08/21	J	A	

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
Livingston, Debra A.	05/15/2022

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)	
35. =========Includes all trusts (H)									
36. Vanguard VMRXX Fed MM Fund	A	Int./Div.	K	T	Sold (part)	01/05/21	J		
37.					Buy (add'l)	03/08/21	J		
38.					Buy (add'l)	03/24/21	J		
39.					Sold (part)	04/13/21	J		
40.					Buy (add'l)	06/18/21	J		
41.					Sold (part)	07/03/21	J		
42.					Buy (add'l)	09/17/21	J		
43.					Sold (part)	10/05/21	J		
44.					Buy (add'l)	12/20/21	J		
45.					Sold (part)	04/09/21	J		
46.					Sold (part)	04/12/21	J		
47.					Sold (part)	04/23/21	J		
48.					Buy (add'l)	04/05/21	J		
49.					Sold (part)	04/12/21	J		
50.					Sold (part)	04/22/21	J		
51.									

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		

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

Part I. Positions
n.1 [redacted] Trust #1 does not contain any reportable assets.

Part II. Agreements.
1992. As a result of my employment with the University of Michigan Law School from 1992-1994, I continue to have a retirement account established through the University of Michigan, the holdings of which are listed under Part VII. Investments and Trusts. Contributions are of course no longer made to those retirement accounts.

Part VII. Investments and Trusts.
n.2Trust for relative. [redacted] is sole trustee. [redacted] and another relative are partial residual beneficiaries.

Name of Person Reporting	Date of Report
Livingston, Debra A.	05/15/2022

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/ Debra A. Livingston

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