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
Lynch, Gerard E.	U.S. Court of Appeals, Second Circuit	05/12/2022
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. Circuit Judge - Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
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 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.	Professor of Law	Columbia University
2.		
3.		
4.		
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.		
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. 01/01/2021	Columbia University; teaching income	$45,000.00
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. 01/01/2021	Private Practice of Psychotherapy
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
Lynch, Gerard E.	05/12/2022

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 Accounts	A	Interest	N	T					
2.	Bank of America Money Market Account	A	Interest	L	T					
3.	Amex Centurion Bank Money Market Account	A	Interest	L	T					
4.	Bank of China Money Market Account	B	Interest	M	T					
5.	Blackrock NY Muni Inc. Tr.	A	Dividend	K	T					
6.	Gabelli Utility Trust PFD	A	Dividend	J	T					
7.	Capital One Savings Account	A	Interest	K	T					
8.	Allianz Gl Con. Fd.	A	Dividend	J	T					
9.	Voya Global Equity Fund	A	Dividend	J	T					
10.	PIMCO NY Muni Inc. Fd.	A	Dividend	J	T					
11.	Blackrock Global Allocation B	A	Dividend	J	T					
12.	Eaton Vance Enhanced Equity Fd.	A	Dividend	J	T					
13.	Eaton Vance Tax Managed Global Fund	A	Dividend	J	T					
14.	Nuveen Municipal Value Fund	A	Dividend	J	T					
15.	PIMCO Income Strategy Fd.	A	Dividend	J	T					
16.	Putnam Int'l. Gr. Fund	A	Dividend	J	T					
17.	Alpine Total Dynamic Div. Fd.	A	Dividend	J	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
Lynch, Gerard E.	05/12/2022

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. Invesco Tax Free Int. Shares	A	Dividend	J	T					
19. Eaton Vance Floating Rate Inc. Tr.	A	Dividend	J	T					
20. Invesco Rochester Muni Cl A (formerly Rochester Muni Fund)	B	Dividend	K	T					
21. Rydex Inverse Govt. Long Bond Strategy	A	Dividend	J	T					
22. Franklin Utilities	A	Dividend	J	T					
23. SunAmerica Focused Small Cap	A	Dividend	J	T					
24. TIAA Traditional RA	B	Dividend	O	T					
25. CREF Stock R3	A	Dividend	M	T					
26. Franklin Income Fd. C	A	Dividend	J	T					
27. Voya Risk Managed Nat. Res. Fd.	A	Dividend			Sold	06/17/21	J		
28. Nuveen Global Fd.	A	Dividend	J	T					
29. NYC Bonds	A	Interest	J	T					
30. Hartford Cap. Apprec. Fd.	A	Dividend	J	T					
31. Fidelity Adv. Div. Int'l.	A	Dividend	J	T					
32. Lord Abbett NY T/F	B	Interest	L	T					
33. Putnam Amer-govt. Income FD	A	Interest	J	T					
34. Columbia NY Tax Exempt Cl. A	B	Interest	K	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

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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)	
35. Fidelity Adv. Govt. Income FD	A	Interest	J	T					
36. Lord Abbett Short Duration Income FD	A	Dividend	J	T					
37. Hartford Inflation Plus FD	A	Dividend	J	T					
38. Rental Property, Manhattan, New York, NY (2002, $272,500)	D	Rent	N	R					
39. Franklin NY Tax Free	B	Interest	L	T					
40. Fidelity Adv. Strategic	A	Dividend	J	T					
41. Vanguard Consumer Staples	A	Dividend	J	T					
42. Vanguard Info Tech	A	Dividend	J	T					
43. Vanguard Emerg. Mkts.	A	Dividend	J	T					
44. Vanguard High Dvd. Yield	A	Dividend	J	T					
45. Vanguard Total Stock Market ETF	A	Dividend	J	T					
46. Vanguard Total Bond Market ETF	A	Dividend	J	T					
47. Nuveen Int-Dur. Mun. Term Fund	A	Dividend	J	T					
48. Blackrock Mun. Target Term Trust	A	Dividend	J	T					
49. Western Asset Municipal Income	A	Dividend	K	T					
50. Vanguard FTSE All World ETF	A	Dividend	J	T					
51. Vanguard REIT Index ETF	A	Dividend	J	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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☐ 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)	
52. Goldman Sachs Technology Fd.	A	Dividend	J	T					
53. Nuveen Santa Barbara Div. G. Fund	A	Dividend	J	T					
54. Metrop. Trans. Auth. Bond	A	Interest	L	T	Redeemed (part)	11/15/21	K		
55. Wisdomtree Int'l. ETF	A	Dividend	J	T					
56. Erie County NY Sewer Dist.	A	Interest	J	T					
57. Franklin Rising Dir. Fd.	A	Dividend	J	T					
58. Blackrock NY Muni Opportunities Fd.	A	Dividend	L	T					
59. Suffolk County Bond	A	Interest	K	T					
60. Putnam Mortgage Sec. Fd.	B	Dividend	J	T					
61. Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T					
62. Goldman Sachs National Muni	A	Dividend			Sold	10/07/21	J		
63. JP Morgan Global Bond	A	Dividend			Sold	10/07/21	J	A	
64. MFS Emerg. Market Debt	A	Dividend			Sold	10/07/21	J	A	
65. MFS Muni High Income	A	Dividend			Sold	10/07/21	J	A	
66. Mainstay Epoch Gl. Equity	A	Dividend			Sold	10/07/21	J	A	
67. Neuberger Berman Equity	A	Dividend			Sold	10/07/21	J	A	
68. Nuveen High Yield Muni	A	Dividend			Sold	10/07/21	J	A	

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69.	Ishares Global Infrastructure	A	Dividend			Sold	10/07/21	J	A	
70.	Ishares Intl. Select	A	Dividend	J	T	Sold (part)	10/07/21	J	A	
71.	Vaneck Vectors High Yield	A	Dividend			Sold	01/07/21	J	A	
72.	Vanguard High Div. Yield	A	Dividend			Sold	10/07/21	J	A	
73.	Principal Spectrum PFD Cap Secs Income	A	Dividend			Sold	09/07/21	J	A	
74.	Mesa AZ Bond	A	Interest			Redeemed	07/01/21	K		
75.	Alabama St. Hwy. Bond	A	Interest			Redeemed	08/02/21	J		
76.	South Bend Ind. Bond	A	Interest	K	T					
77.	Tucson AZ Bonds	A	Interest	K	T					
78.	Jamesville WI Bond	A	Interest	K	T					
79.	Washington State Bond	A	Interest	K	T					
80.	NYS Urban Dev. Corp. Bond	A	Interest	K	T					
81.	Cook Cty. Ill. H.S. Dist. Bond	A	Interest	J	T					
82.	Woodbridge NJ Bond	A	Interest	K	T					
83.	Virginia Coll. Bldg. Auth. Bond	A	Interest	K	T					
84.	Wyomissing Pa. School Bond	A	Interest	J	T					
85.	Dallas Tx. School Bond	A	Interest	K	T					

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86. Northside Tx. School Bond	A	Interest	K	T					
87. Humble Tx. School Bond	A	Interest	J	T					
88. South Brunswick NJ Bond	A	Interest	J	T	Buy	09/16/21	J		
89. JEA FL Water & Sewer Bond	A	Interest	K	T	Buy	07/14/21	K		
90. Touchstone Sands Cap Select Growth		None	J	T	Buy	07/16/21	J		
91. Aberdeen Total Dynamic Div Fd	A	Dividend	J	T	Buy	07/16/21	J		
92. Janus Henderson Global Equity Income	A	Dividend			Buy	03/08/21	J		
93. Janus Henderson Global Equity Income	A	Dividend			Sold	10/07/21	J	A	

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

Name of Person Reporting	Date of Report
Lynch, Gerard E.	05/12/2022

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/ Gerard E. Lynch

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