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 |
|---|---|---|
| Perez, Myrna | Second Circuit Court of Appeals | 07/03/2024 |
| **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** |
| Second Circuit Judge | ☐ Nomination Date<br>☐ Initial ☐ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2023 to 12/31/2023 |
| **7. Chambers or Office Address** | | |
| Thurgood Marshall United States Courthouse<br>40 Foley Square<br>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. | Lecturer-in-Law | Columbia Law School |
| 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. | 2006 | 401(k) Account for Myrna Perez continues to be managed by the Brennan Center for Justice after her departure from the company |
| 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. | 2023 | Columbia School of Law - Employed as Lecturer-in-Law | $30,000.00 |
| 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. | 2023 | Maquet Cardiovascular, LLC - Employed as Senior Engineer |
| 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. | Seattle University - School of Law | 11/06/23 - 11/08/23 | Seattle, WA | Law School Visit | Lodging, meals, & transportation |
| 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. | Oscar Chapa, Friend | Oscar Chapa (friend) used airline miles to purchase a ticket for Judge Perez to visit their home. | $595.40 |
| 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 |
|---|---|
| **Perez, Myrna** | 05/11/2024 |

## 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. | Investment Account #1 (H) | | | | | | | | | |
| 2. | - Bank Deposit Sweep Program (QPRMQ) | A | Int./Div. | | | Sold | 02/15/23 | J | A | |
| 3. | - Baird Aggregate Bond Fund Investor Cl (BAGSX) | A | Dividend | | | Sold | 08/10/23 | K | A | |
| 4. | - Baird Core Plus Bond Institutional (BCOIX) | A | Dividend | | | Sold | 08/10/23 | J | A | |
| 5. | - The Bond Fund Of America F3 (BFFAX) | A | Dividend | | | Sold | 08/10/23 | K | A | |
| 6. | - Baird Ultra Short Bond Fund Instl (BUBIX) | A | Dividend | | | Sold | 08/10/23 | J | A | |
| 7. | - Columbia Emerging Markets Fund Cl I3 (CEKYX) | A | Dividend | | | Sold | 08/10/23 | J | A | |
| 8. | - Dodge & Cox Global Bond Fund (DODLX) | A | Dividend | | | Sold | 08/10/23 | J | A | |
| 9. | - Harding Loevner Intl Equity Port Instl (HLMIX) | A | Dividend | | | Sold | 08/10/23 | J | A | |
| 10. | - Ishares Core S&P Total Us Stock Market Etf (ITOT) | A | Dividend | | | Sold | 08/10/23 | K | A | |
| 11. | - Pimco Intl Bd U.S. Dollar-Hedged Inst (PFORX) | A | Dividend | | | Sold | 08/10/23 | J | A | |
| 12. | - Vanguard Tax-Managed Intl Fd Ftse Dev Mkt Etf (VEA) | A | Dividend | | | Sold | 08/10/23 | J | A | |
| 13. | - Vanguard Short Term Invmt Grade Admiral (VFSUX) | A | Dividend | | | Sold | 08/10/23 | J | A | |
| 14. | Investment Account #2 (H) | | | | | | | | | |
| 15. | - FS KKR CAPITAL CORP (FSK) | C | Dividend | | | Sold | 08/18/23 | K | A | |
| 16. | Investment Account #3 (H) | | | | | | | | | |
| 17. | - Blackrock Govt. Ntl. Mortgage Assoc. Port Class A (BGPAX) | A | Dividend | | | Sold | 08/14/23 | K | 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 |
|---|---|
| **Perez, Myrna** | 05/11/2024 |

## 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. 401K Account #1 (H) | | | | | | | | | |
| 19. - BlackRock Inflation Protected Bond | B | Dividend | K | T | | | | | |
| 20. - The State Street S&P Mid Cap® Index Fund | A | Dividend | K | T | | | | | |
| 21. - State Street Russell Small Cap® Value Index Fund | A | Dividend | J | T | | | | | |
| 22. - State Street Russell Small Cap Growth Index | A | Dividend | J | T | | | | | |
| 23. PIMCO INCM | B | Dividend | K | T | | | | | |
| 24. Vanguard 500 Index | C | Dividend | N | T | | | | | |
| 25. Vanguard Developing Markets Index | C | Dividend | L | T | | | | | |
| 26. Yourpath Ishares 2040 MOD | A | Dividend | L | T | | | | | |
| 27. 401K Account #2 (H) | | | | | | | | | |
| 28. Johnson & Johnson Savings Plan - Target Retirement 2040 Fund (private) | B | Dividend | M | T | | | | | |
| 29. 401K Account #3 (H) | | | | | | | | | |
| 30. - JPMorgan Lrg Cp Growth Fund R6 (JLGMX) | A | Dividend | | | Sold | 07/17/23 | J | A | |
| 31. - JPMorgan Equity Income Fund R6 (OIEJX) | A | Dividend | | | Sold | 07/17/23 | J | A | |
| 32. 401K Account #4 (H) | | | | | | | | | |
| 33. - American Funds 2040 Trgt Date Retire R6 (RFGTX) | A | Dividend | | | Sold | 07/12/23 | K | D | |
| 34. 401K Account #5 (H) | | | | | | | | | |

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
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3. Value Method Codes (See Column C2)
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|---|---|---|---|---|---|---|---|---|---|
| 35. Vanguard Trgt Rtmt 2045 Tr Pls | A | Dividend | | | Sold | 07/12/23 | J | A | |
| 36. 401K Account #6 (H) | | | | | | | | | |
| 37. T Rowe Price Retire I 2045 I (TRPKX) | C | Dividend | L | T | Buy (add'l) | 07/25/23 | J | | |
| 38. | | | | | Buy (add'l) | 08/02/23 | J | | |
| 39. | | | | | Buy (add'l) | 09/15/23 | K | | |
| 40. IRA Account #1 (H) | | | | | | | | | |
| 41. - Baird Core Plus Bond Institutional (BCOIX) | A | Dividend | J | T | Buy (add'l) | 03/08/23 | J | | |
| 42. - The Bond Fund Of America F3 (BFFAX) | A | Dividend | J | T | | | | | |
| 43. - Baird Ultra Short Bond Fund Instl (BUBIX) | A | Dividend | | | Sold | 03/08/23 | J | A | |
| 44. - Fidelity Gvmt Cash Reserves (FDRXX) | A | Dividend | | | Sold | 04/20/23 | J | A | |
| 45. - Fid Large Cap Growth Enhanced Index (FLGEX) | A | Dividend | | | Sold (part) | 06/01/23 | J | A | |
| 46. | | | | | Merged (with line 57) | 11/17/23 | J | | |
| 47. - Fidelity 500 Index Fund (FXAIX) | A | Dividend | J | T | Buy (add'l) | 12/29/23 | J | | |
| 48. - Ishares S&P Midcap ETF (IJH) | A | Dividend | J | T | Sold (part) | 12/28/23 | J | A | |
| 49. - Ishares Core S&P Small-Cap E (IJR) | A | Dividend | J | T | | | | | |
| 50. - Mfs International Diversification R6 (MDIZX) | A | Dividend | J | T | | | | | |
| 51. - Blackrock Emerging Markets Fund Cl K (MKDCX) (Y) | | | | | | | | | |

1. Income Gain Codes: (See Columns B1 and D4)
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2. Value Codes (See Columns C1 and D3)
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|---|---|---|---|---|---|---|---|---|---|
| 52. - Touchstone Mid Cap Fd Cl Y (TMCPX) | A | Dividend | J | T | | | | | |
| 53. - Vanguard Tax-Managed Intl Fd Ftse Dev Mkt Etf (VEA) | A | Dividend | J | T | | | | | |
| 54. - Vanguard Equity Income Admiral Fd (VEIRX) | A | Dividend | J | T | | | | | |
| 55. - Vanguard Short Term Invmt Grade Admiral (VFSUX) | A | Dividend | J | T | | | | | |
| 56. - Vanguard Intl Equity Index Fds Ftse Emr Mkt Etf (VWO) | A | Dividend | J | T | | | | | |
| 57. - Fidelity Enhanced Large Cap Growth ETF (FELG) | A | Dividend | J | T | | | | | |
| 58. IRA Account #2 (H) | | | | | | | | | |
| 59. - Fidelity Government Cash Reserves (FDRXX) | A | Dividend | J | T | | | | | |
| 60. - Fidelity Advisor Strategic Income A (FSTAX) | A | Dividend | J | T | | | | | |
| 61. IRA Account #3 (H) | | | | | | | | | |
| 62. - Fidelity Government Cash Reserves (FDRXX) | A | Dividend | J | T | | | | | |
| 63. IRA Account #4 (H) | | | | | | | | | |
| 64. - New Alternatives Fund (NALFX) | A | Dividend | J | T | | | | | |
| 65. Health Savings Account #1 (H) | | | | | | | | | |
| 66. - BLACKROCK HIGH YIELD BOND (BRHYX) | A | Dividend | J | T | | | | | |
| 67. - ISHARES S&P 500 INDEX CL K (WFSPX) | A | Dividend | J | T | | | | | |
| 68. - NORTHERN GLBL SUSTAIN IDX (NSRIX) | A | Dividend | J | T | | | | | |

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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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| Name of Person Reporting | Date of Report |
|---|---|
| **Perez, Myrna** | 05/11/2024 |

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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 (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) | |
|---|---|---|---|---|---|---|---|---|---|
| 69. - VANGUARD FTSE SOCIAL INDEX ADM (VFTAX) | A | Dividend | J | T | | | | | |
| 70. - VANGUARD TARGET RET 2040 INV (VFORX) | A | Dividend | J | T | | | | | |
| 71. 529 Plan #1 (H) | | | | | | | | | |
| 72. - JPMorgan 529 Age-Based 9-10 Portfolio - A | A | Dividend | | | Sold | 07/06/23 | K | A | |
| 73. - JPMorgan 529 Age-Based 11-12 Portfolio - A | A | Dividend | K | T | Buy | 07/06/23 | K | | |
| 74. Synchrony Bank Cash Accounts | A | Interest | J | T | | | | | |
| 75. Bank of America Cash Accounts | | None | K | T | | | | | |
| 76. Bank of America Health Savings Account - Cash | | None | 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
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| Name of Person Reporting | Date of Report |
|---|---|
| **Perez, Myrna** | 05/11/2024 |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Perez, Myrna** | 05/11/2024 |

## 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/ Myrna Perez**

**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