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
WALKER, JOHN M.	U.S. Court of Appeals for the Second Circuit	07/20/2022
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**
Senior U.S. Circuit Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	1/1/2021 **to** 12/31/2021
7. Chambers or Office Address		
157 Church Street 17th Floor New Haven, CT 06510		

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.		
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.			
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.		
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
WALKER, JOHN M.	07/20/2022

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. --COMMON STOCK--									
2. 3M COMPANY	B	Dividend	K	T					
3. ALIBABA GROUP HLDG LTD		None			Sold	08/16/21	J		
4. ALLSTATE CORP	B	Dividend	L	T					
5. ALPHABET INC CL C		None	N	T	Sold (part)	04/28/21	J	D	
6. AMERICAN INT'L GROUP	B	Dividend	L	T					
7. AMERICAN TOWER INC	C	Dividend	N	T					
8. APPLE INC	A	Dividend	M	T					
9. ARISTA NETWORKS INC		None	J	T	Buy	02/23/21	J		
10. AUTO ZONE INC		None	L	T					
11. BERKSHIRE HATHAWAY		None	L	T					
12. BLOCK INC CL A		None	K	T	Buy	12/27/21	K		
13. BROADCOM LIMITED	A	Dividend	K	T					
14. BROOKFIELD INFASTRUCTURE CORP	A	Dividend	J	T					
15. CARMAX		None	M	T					
16. CHARTER COMMUNICATIONS CL A		None	M	T					
17. CHEVRON CORP	B	Dividend	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
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
WALKER, JOHN M.	07/20/2022

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)	
18. CROWN HOLDINGS	A	Dividend	M	T					
19. CVS HEALTH CORP COM	A	Dividend	J	T	Buy	01/25/21	J		
20. DEERE & CO COM	A	Dividend	K	T	Buy	06/10/21	K		
21. DOLLAR TREE INC		None	L	T					
22. ENSCO PLC SPONSORED ADR		None	J	T					
23. GLADSTONE COMM CORP	B	Dividend	K	T					
24. ISHARES TR 1-3 YR ETF	A	Dividend	M	T					
25. JOHNSON & JOHNSON	A	Dividend	K	T					
26. JP MORGAN CHASE	C	Dividend	M	T					
27. LABORATORY CORP AMER HOLDINGS		None	L	T					
28. LOCKHEED MARTIN CORP	A	Dividend	K	T	Buy	02/26/21	K		
29. LOWES CO INC	C	Dividend	N	T	Sold (part)	03/22/21	K	E	
30. MARKEL CORPORATION		None	M	T					
31. MCDONALD'S CORP	A	Dividend	J	T					
32. MERCK & CO INC	B	Dividend	K	T	Buy (add'l)	04/28/21	J		
33. MICROSOFT CORP	C	Dividend	N	T	Sold (part)	04/15/21	L	F	
34. NEOGEN CORP		None	K	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
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35. NOVARTIS AG SPONSORED ADR	C	Dividend	M	T					
36. ORACLE CORPORATION	B	Dividend	M	T					
37. ORGANON & CO COMMON STOCK	A	Dividend	J	T	Spinoff (from line 32)	05/07/21	J		
38. PARAMOUNT GLOBAL CLASS B	A	Dividend	K	T	Buy	03/15/21	J		
39.					Sold (part)	04/28/21	K	E	
40. PAYPAL HLDGS INC		None	J	T	Buy	07/29/21	K		
41.					Sold (part)	12/21/21	K		
42. PEPSICO INC	B	Dividend	L	T					
43. PHILIP MORRIS INTL INC COM	C	Dividend	L	T					
44. QUALCOMM INC	A	Dividend	K	T	Buy (add'l)	02/04/21	J		
45. REGENERON PHARMACEUTICALS		None	J	T	Buy	03/04/21	J		
46. ROSS STORES INC	B	Dividend	M	T					
47. ROYAL BANK CANADA	B	Dividend	K	T					
48. SEAGEN INC		None	K	T	Buy	02/10/21	K		
49. SMUCKER JM & CO	B	Dividend	L	T					
50. SUPER MICRO COMPUTER INC		None			Sold	01/20/21	K	E	
51. TAIWAN SEMICONDUCTOR	C	Dividend	M	T					

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52. TENCENT HLDGS LTD ADR	A	Dividend			Sold	07/27/21	L	E	
53. TRITON INTERNATIONAL LTD	B	Dividend	K	T	Buy (add'l)	04/28/21	J		
54. VIACOM CBS INC CL B	A	Dividend	K	T					
55. WALMART STORES INC	B	Dividend	L	T					
56.									
57. --CASH & EQUIVALENTS--									
58. PERSHING GOVT ACCOUNT	A	Interest	J	T					
59. DREYFUS TREASURY PRIME INV SH	A	Dividend	M	T					
60. --LIMITED PARTNERSHIP-									
61. BROOKFIELD INFRASTRUCTURE PARTNERS	B	Dividend	L	T					
62.									
63. --BANK ACCOUNTS--									
64. BANK OF AMERICA	A	Interest	J	T					
65. CITIBANK	A	Interest	J	T					
66. PEOPLES BANK	A	Interest	J	T					
67.									

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

Name of Person Reporting	Date of Report
WALKER, JOHN M.	07/20/2022

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/ JOHN M. WALKER

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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One Columbus Circle, N.E.
Washington, D.C. 20544