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
Leval, Pierre N.	U.S. Court of Appeals, 2nd Cir	7/15/2022
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**
Senior Circuit Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	1/1/2021 **to** 12/31/2021
7. Chambers or Office Address		
40 Foley Square Rm 1901 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.	Council member - Emeritus	The American Law Institute
2.	Trustee, Executor	[redacted] members
3.	Member - Photography Committee	Museum of Modern Art
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.	Jan-Dec.	State St. Cultural Inst. Pension Plan - pension
2.	Jan. 2021	Blanchette H. Rockefeller Trust - fee
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
Leval, Pierre N.	7/15/2022

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 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. Abbot Labs (common stock [redacted]	E	Dividend	P1	T					
2. Abbvie Inc. (common stock) [redacted])	F	Dividend	P1	T					
3. Exxon Mobil (common)	E	Dividend	N	T					
4. Vanguard Total Stock Mkt ETF VTI	C	Dividend	M	T					
5. MRO	A	Dividend	J	T					
6. Daimler Chrysler (common)	A	Dividend	J	T					
7. FMC Money Mkt [redacted] (Dreyfus)	B	Interest	M	T					
8. Hershey (common) [redacted]	D	Dividend	N	T					
9. Gen. American Inv. (common) (GAM) [redacted]	F	Dividend	O	T					
10. Chase Bank (acccount) [redacted]	A	Interest	J	T					
11. Chase Bank (acccount) [redacted]	A	Interest	O	T					
12. Citibank account		None	J	T					
13. Art Works		None	M	W					
14. Chase bank account (trust)		None	J	T					
15. Vanguard GNMA Fixed Income Fund [redacted] (VFIJX)	B	Interest	M	T					
16. Vanguard GNMA Fixed Income Fund (trust) (VFIJX)	B	Interest	L	T					
17. FHKCX	C	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
Leval, Pierre N.	7/15/2022

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. FEMKX	A	Dividend	J	T					
19. FXAIX (symbol changed from FUSVX)	D	Dividend	N	T					
20. FLGEX	A	Dividend	K	T					
21. HGOAX (symbol changed from HGOCX)	A	Dividend	K	T					
22. IHSAX	A	Dividend	K	T					
23. HGXAX (symbol changed from HNSAX)	A	Dividend	J	T					
24. IHOAX (symbol changed from HIOCX)	A	Dividend	J	T					
25. ITHAX (symbol changed from HCACX)	A	Dividend	K	T					
26. IGNAX (symbol changed from IGNCX)	A	Dividend	J	T					
27. VTRIX	A	Dividend	J	T					
28. FNYXX	A	Interest	J	T					
29. VDIGX	D	Dividend	O	T					
30. Jacksonville 5.375 8/15/23	D	Interest	M	T					
31. Guam Pwr Bond 5.0 10/1/26	B	Interest	K	T					
32. Guam Arpt Bond 5.00 10/1/23	B	Interest	M	T					
33. Guam Pwr 5.00 10/1/23	B	Interest	K	T					
34. Guam Pwr 5.00 10/1/24	D	Interest	M	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	
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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. Guam Pwr 5.00 10/01/34	B	Interest	K	T					
36. Guam Pwr 5.00 10/01/30	D	Interest	N	T					
37. Monroe 5.75 bond 8/15/30	D	Interest			Sold	02/16/21	N		
38. Monroe 5.75 bond 2035 8/15/35	C	Interest			Sold	02/16/21	L		
39. E. Rochester 5.00 4/20/27	C	Interest	L	T	Sold (part)	10/20/21	J		
40. Michigan Hosp. bond 5.25 5/15/26	A	Interest	J	T	Sold (part)	05/17/21	J		
41. Mississippi Dev. 6.75 12/1/33	D	Interest	L	T					
42. NY Dorm 5.0 10/1/26	C	Interest	L	T					
43. NY Dorm 5.0 10/1/30	B	Interest	K	T					
44. NY Dorm 5.0 10/1/28	B	Interest	K	T					
45. NYS Dorm 5.00 10/01/32	B	Interest	L	T	Sold (part)	07/01/21	K		
46. NY Dorm 2.125 7/1/41	B	Interest			Sold	07/01/21	L		
47. NY HSG FIN 3.45 11/1/33	A	Interest	K	T					
48. NYS MTG 3.625 10/1/38	B	Interest	J	T	Sold (part)	04/01/21	K		
49. NYS MTG 3.625 10/1/38 *See Part VIII					Sold (part)	10/01/21	K		
50. PR 5.375 7/1/25	D	Interest	M	T					
51. Puerto Rico bond 4.95 7/1/26	C	Interest	L	T	Sold (part)	07/01/21	J		

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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	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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52. Puerto Rico 5.25 7/1/22	C	Interest	L	T					
53. Suffolk 5.00 2/1/26	B	Interest	K	T					
54. Suffolk 5.00 10/15/23	C	Interest	M	T					
55. Virgin I bond 5.0 10/1/28	B	Interest	K	T					
56. Virgin I Pub Fin bond 4.0 10/1/22	A	Interest	J	T	Sold (part)	10/01/21	J		
57. Virgin I Pub Fin 5.0 10/1/27	C	Interest	M	T					
58. Virgin I Pub Fin 5.25 10/1/24	C	Interest	L	T	Redeemed (part)	10/01/21	J		
59. NY Util. Debt 5.0 12/15/32	B	Interest	K	T					
60. NY Util. Debt 5.0 12/15/36	B	Interest	K	T					
61. UTIL 5.00 12/15/29	B	Interest			Sold	10/21/21	M	C	
62. UTIL 5.00 12/15/30	B	Interest			Sold	10/21/21	L	B	
63. UTIL 5.00 12/15/27	C	Interest	M	T					
64. Georgia Loc Gov 4.750 06/01/28	B	Interest	L	T	Buy	03/16/21	L		
65. Hudson Yards 4.00 2/15/38		None	M	T	Buy	10/21/21	M		
66. NYCity HS 3.7 11/1/38	B	Interest	K	T	Buy	04/07/21	K		
67. NYCity HS 4.150 11/1/38	C	Interest	L	T	Buy	03/15/21	L		
68. NYC HS 3.450 11/1/37	C	Interest	L	T	Buy	03/19/21	L		

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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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)	
69. NYC TR 4.00 7/15/35		None	K	T	Buy	07/26/21	K		
70. NY Dorm 5.00 11/1/26	B	Interest	K	T	Buy	03/17/21	K		
71. NYS HS 3.050 11/1/36	B	Interest	L	T	Buy	03/12/21	L		
72. NYS Dorm 5.000 3/15/36	A	Interest	L	T	Buy	03/12/21	L		
73. NYS Dorm 3.000 8/1/39	A	Interest	K	T	Buy	04/27/21	K		
74. NYS Dorm 4.000 2/1/40	B	Interest	M	T	Buy	03/11/21	M		
75. NYS Dorm 5.000 7/1/36	A	Interest	K	T	Buy	03/19/21	K		
76. NYS Twy 4.000 3/15/36		None	L	T	Buy	10/05/21	L		
77. NYS Urban 5.000 3/15/38	B	Interest	L	T	Buy	06/29/21	L		
78. CENT Puget 4.75 2/1/28 [redacted]	B	Interest	L	T					
79. Guam Arpt. Bond 5.00 10/1/23 [redacted]	B	Interest	L	T					
80. Guam Pwr Bond 5.00 10/1/23 [redacted]	B	Interest	K	T					
81. Guam Pwr 5.00 10/1/24 [redacted]	C	Interest	M	T					
82. Monroe Cty 5.75 8/15/35 [redacted]	C	Interest			Redeemed	02/16/21	M		
83. Monroe Bond 5.75 8/15/30 [redacted]	B	Interest			Redeemed	02/16/21	L		
84. Monroe 5.00 6/1/24 [redacted]	B	Interest	L	T					
85. NYC HS 3.050 11/1/49 [redacted]	A	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		
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86. NY HSG 3.45 11/1/33	A	Interest	K	T					
87. NY Dorm 5.00 3/15/35 [redacted]	C	Interest	L	T					
88. NY Dorm 5.00 3/15/37 [redacted]	B	Interest	L	T					
89. NY Dorm 4.00 2/1/30 [redacted]	B	Interest	L	T					
90. Onondaga 5.00 5/1/27 [redacted]	B	Interest	K	T					
91. NYS Dorm 5.0 10/1/26 - [redacted]	B	Interest	L	T					
92. NY Dorm 5.00 3/15/31 [redacted]	B	Interest	L	T					
93. NYS Urban Bond 5.00 3/15/26 [redacted]	B	Interest	L	T					
94. NY Twy 5.0 1/1/33 [redacted]	B	Interest	K	T					
95. NYS MTG 3.00 10/1/31 [redacted]	B	Interest	K	T					
96. NYS MTG 3.650 10/1/37 [redacted]	A	Interest	K	T					
97. NYS MTG 3.80 4/1/45 [redacted]	A	Interest	K	T					
98. Puerto Rico [redacted] 4.95% 7/1/26 Bond	D	Interest	M	T	Redeemed (part)	07/02/21	J		
99. Puerto Rico Pub Fin [redacted] 5.125 6/1/24	B	Interest	K	T	Redeemed (part)	06/01/21	J		
100. PR [redacted] 5.00 07/01/28	B	Interest	L	T					
101. Virgin I 5.0% [redacted] 10/1/28 Bond`	B	Interest	K	T					
102. Virgin I. 5.0% [redacted] 10/1/30 Bond	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

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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)	
103. Utility 5.00 12/15/27 [redacted]	C	Interest	L	T					
104. Utility Debt [redacted] 5.00 12/15/30	B	Interest	K	T	Redeemed (part)	10/01/21	J		
105. NYC Mu WTR 5.000 6/15/41 [redacted]	B	Interest	K	T	Buy	02/19/21	K		
106. NYS Hsg 4.000 11/1/38 [redacted]		None	K	T	Buy	12/07/21	J		
107. NYS Dorm 5.000 3/15/46 [redacted]	B	Interest	L	T	Buy	02/17/21	L		
108. NYS Dorm 3.000 10/1/38 [redacted]		None	K	T	Buy	06/02/21	K		
109. NYS Urban 5.000 3/15/36 [redacted]	C	Interest	L	T	Buy	03/18/21	L		
110. Virgin I. 5.000 7/1/31 [redacted]		None	K	T	Buy	09/22/21	K		
111. JPMorgan Tax Free Bond VANTX [redacted]	A	Interest	K	T					
112. VOO	C	Dividend	M	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
Leval, Pierre N.	7/15/2022

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

* This line describes only a transaction. The first line identifying this security in Column A shows the information for Columns B and C.

Name of Person Reporting	Date of Report
Leval, Pierre N.	7/15/2022

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/ Pierre N. Leval

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