AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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
Leval, Pierre N.	U.S. Court of Appeals, 2nd Cir	08/11/2023
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	1/1/2022 **to** 12/31/2022
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.	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.	08/11/2023

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. Abbot Labs (common stock)(	E	Dividend	P1	T					
2. Abbvie Inc. (common stock)	F	Dividend	P1	T					
3. Exxon Mobil (common)	E	Dividend	O	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 (Dreyfus)	B	Interest	J	T					
8. Hershey (common)(s)	D	Dividend	N	T					
9. Gen. American Inv. (common) (GAM)	E	Dividend	O	T					
10. Chase Bank (acccount)	A	Interest	J	T					
11. Chase Bank (acccount)	A	Interest	N	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 + (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		

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Leval, Pierre N.	08/11/2023

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	L	T					
22. IHSAX	A	Dividend	L	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	E	Dividend	O	T					
30. Jacksonville 5.375 8/15/23	D	Interest	L	T	Redeemed (part)	08/15/22	K		
31. Guam Pwr Bond 5.0 10/1/26	B	Interest			Redeemed	10/03/22	K		
32. Guam Arpt Bond 5.00 10/1/23	B	Interest	M	T					
33. Guam Pwr 5.00 10/1/23	B	Interest			Redeemed	10/03/22	K		
34. Guam Pwr 5.00 10/1/24	D	Interest			Redeemed	10/03/22	M		

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	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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35. Guam Pwr 5.00 10/01/34	B	Interest	K	T					
36. Guam Pwr 5.00 10/01/30	D	Interest			Redeemed	10/03/22	M		
37. E. Rochester 5.00 4/20/27	C	Interest			Sold	03/17/22	L		
38. Michigan Hosp. bond 5.25 5/15/26	A	Interest			Redeemed	05/16/22	J		
39. Mississippi Dev. 6.75 12/1/33	D	Interest	L	T					
40. NY Dorm 5.0 10/1/26	C	Interest	J	T	Redeemed (part)	11/08/22	L		
41. NY Dorm 5.0 10/1/30	B	Interest	K	T					
42. NY Dorm 5.0 10/1/28	B	Interest	K	T					
43. NYS Dorm 5.00 10/01/32	B	Interest	L	T					
44. NY HSG FIN 3.45 11/1/33	A	Interest	K	T					
45. NYS MTG 3.625 10/1/38	A	Interest	J	T					
46. PR 5.375 7/1/25	D	Interest			Redeemed	03/18/22	L		
47. Puerto Rico bond 4.95 7/1/26	C	Interest			Redeemed (part)	03/18/22	J		
48. Puerto Rico bond 4.95 7/1/26 (*See Part VIII)					Redeemed	12/08/22	L		
49. Puerto Rico 5.25 7/1/22	C	Interest			Redeemed	07/01/22	L		
50. Suffolk 5.00 2/1/26	B	Interest	K	T					
51. Suffolk 5.00 10/15/23	C	Interest	M	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	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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52. Virgin I bond 5.0 10/1/28	B	Interest	K	T					
53. Virgin I Pub Fin bond 4.0 10/1/22	A	Interest			Redeemed	10/03/22	J		
54. Virgin I Pub Fin 5.0 10/1/27	C	Interest			Sold	04/07/22	M		
55. Virgin I Pub Fin 5.25 10/1/24	C	Interest	J	T	Redeemed (part)	10/03/22	L		
56. NY Util. Debt 5.0 12/15/32	B	Interest	L	T	Buy (add'l)	10/11/22	L		
57. NY Util. Debt 5.0 12/15/36	B	Interest	K	T					
58. UTIL 5.00 12/15/27	C	Interest	M	T					
59. Georgia Loc Gov 4.750 06/01/28	B	Interest	L	T					
60. Hudson Yards 4.00 2/15/38		None	M	T					
61. NYCity HS 3.7 11/1/38	B	Interest	K	T	Redeemed (part)	03/30/22	J		
62. NYCity HS 4.150 11/1/38	C	Interest	L	T					
63. NYC HS 3.450 11/1/37	C	Interest	L	T					
64. NYC TR 4.00 7/15/35		None	K	T					
65. NY Dorm 5.00 11/1/26	B	Interest	K	T	Redeemed (part)	11/01/22	J		
66. NYS HS 3.050 11/1/36	B	Interest	L	T					
67. NYS Dorm 5.000 3/15/36	A	Interest	L	T					
68. NYS Dorm 3.000 8/1/39	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
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	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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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)	
69. NYS Dorm 4.000 2/1/40	B	Interest	M	T					
70. NYS Dorm 5.000 7/1/36	A	Interest	K	T					
71. NYS Twy 4.000 3/15/36		None	L	T					
72. NYS Urban 5.000 3/15/38	B	Interest	L	T					
73. Huntington NY 4.000 6/15/35		None	L	T	Buy	07/21/22	L		
74. Monroe NY 5.000 5/1/32	B	Interest	L	T	Buy	10/12/22	L		
75. NYC mu 5.00 6/15/36	A	Interest	K	T	Buy	11/01/22	L		
76. NYC TR 5.00 11/1/24		None	M	T	Buy	10/27/22	M		
77. NYC mu 5.00 6/15/31	B	Interest	L	T	Buy	08/24/22	L		
78. NYC TR 5.00 7/15/31		None	L	T	Buy	12/20/22	L		
79. NYS Dorm 5.00 7/1/35		None	L	T	Buy	11/18/22	L		
80. NYS TWY 5.00 1/1/32		None	L	T	Buy	10/13/22	L		
81. NYS Urban 5.00 3/15/27	B	Interest	L	T	Buy	05/19/22	L		
82. NYS Urban 5.00 3/15/36	A	Interest	K	T	Buy	03/18/22	K		
83. Syracuse NY 4.00 5/1/32	C	Interest	L	T	Buy	03/24/22	L		
84. Monroe 5.00 7/1/31		Interest	L	T	Buy	10/18/22	L		
85. NYS Dorm 5.00 3/15/28		None	L	T	Buy	10/19/22	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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86. CENT Puget 4.75 2/1/28	B	Interest	K	T	Redeemed (part)	02/01/22	J		
87. Guam Arpt. Bond 5.00 10/1/23	B	Interest	L	T					
88. Guam Pwr Bond 5.00 10/1/23	B	Interest			Redeemed	10/03/22	K		
89. Guam Pwr 5.00 10/1/24	C	Interest			Redeemed	10/03/22	M		
90. Monroe 5.00 6/1/24	B	Interest	L	T					
91. NYC HS 3.050 11/1/49	A	Interest	K	T					
92. NY HSG 3.45 11/1/33	A	Interest	K	T					
93. NY Dorm 5.00 3/15/35	C	Interest	L	T					
94. NY Dorm 5.00 3/15/37	B	Interest	L	T					
95. NY Dorm 4.00 2/1/30	B	Interest	L	T					
96. Onondaga 5.00 5/1/27	B	Interest	K	T					
97. NYS Dorm 5.0 10/1/26 -	B	Interest	J	T	Redeemed (part)	11/08/22	K		
98. NY Dorm 5.00 3/15/31 (BX2)	B	Interest	L	T					
99. NYS Urban Bond 5.00 3/15/26	B	Interest	L	T					
100. NY Twy 5.0 1/1/33	B	Interest	K	T					
101. NYS MTG 3.00 10/1/31	B	Interest	K	T					
102. NYS MTG 3.650 10/1/37	A	Interest			Redeemed	04/08/22	K		

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103. NYS MTG 3.80 4/1/45	A	Interest	K	T					
104. Puerto Rico 4.95% 7/1/26 Bond	D	Interest			Redeemed	12/08/22	M		
105. Puerto Rico Pub Fin 5.125 6/1/24	B	Interest	K	T	Redeemed (part)	06/01/22	J		
106. PR 5.00 07/01/28	B	Interest			Redeemed	12/08/22	L		
107. Virgin I 5.0% 10/1/28 Bond`	B	Interest	K	T					
108. Virgin I. 5.0% 10/1/30 Bond	B	Interest	K	T					
109. Utility 5.00 12/15/27	C	Interest	L	T					
110. Utility Debt 5.00 12/15/30	B	Interest	K	T					
111. NYC Mu WTR 5.000 6/15/41	B	Interest	K	T					
112. NYS Hsg 4.000 11/1/38		None	K	T					
113. NYS Dorm 5.000 3/15/46	B	Interest	L	T					
114. NYS Dorm 3.000 10/1/38		None	K	T					
115. NYS Urban 5.000 3/15/36	C	Interest	L	T					
116. Virgin I. 5.000 7/1/31		None	K	T					
117. Long Is PWR 5.00 9/1/35		None	K	T	Buy	10/11/22	K		
118. NYC mu 5.00 6/15/36		None	L	T	Buy	11/01/22	L		
119. NYC TR 5.00 11/1/26		None	K	T	Buy	10/27/22	K		

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.	08/11/2023

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)	
120. NYS Dorm 5.00 7/1/34		None	L	T	Buy	12/09/22	L		
121. NYS Dorm 5.00 7/1/29		None	K	T	Buy	11/08/22	K		
122. NYS Dorm 5.00 3/15/35		None	L	T	Buy	12/12/22	L		
123. NYS Dorm 5.00 3/15/31 (FB6)	A	Interest	K	T	Buy	06/14/22	K		
124. NYS Dorm 5.00 3/15/31 (W52)	A	Interest	K	T	Buy	07/26/22	K		
125. Utility 5.00 12/15/34	A	Interest	K	T	Buy	11/10/22	K		
126. NYC TR 5.00 7/15/31		None	K	T	Buy	12/20/22	K		
127. JPMorgan Tax Free Bond VANTX	A	Interest	K	T					
128. 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.	08/11/2023

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

* This additional line pertaining to this security describes only a transaction. The first line above identifying the same security sets forth in Column B1 the income received and in Column C1 the year's end value.

Note entered August 11, 2023, at 12:30 pm: I have been trying for two days to file the Report through the website of the Committee on Financial Disclosure, but repeatedly receiving responses that my account is blocked. I am therefore mailing the Report to the Committee today, and will continue my efforts to file electronically through the website.

Name of Person Reporting	Date of Report
Leval, Pierre N.	08/11/2023

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/ 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544