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
Leval, Pierre N.	U.S. Court of Appeals - Second Circuit	07/17/2024
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**
Senior Circuit Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
40 Foley Square, Room 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]
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.	January	Blanchette H. Rockefeller Trust - Fee
3.	January	Phoenix Art Museum
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.	07/17/2024

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)	
1. Abbot Labs (common stock)(self[redacted])	E	Dividend	P1	T					
2. Abbvie Inc. (common stock)(self[redacted])	F	Dividend	P1	T					
3. Exxon Mobile (common)	D	Dividend	N	T					
4. Vanguard Total Stock Mkt ETF VTI (self/[redacted])	D	Dividend	O	T					
5. MRO	A	Dividend	J	T					
6. Daimler Chrysler (common)	A	Dividend	J	T					
7. FMC Money Mkt (self[redacted]) (Dreyfus)	B	Interest	J	T					
8. Hershey (common)[redacted]	D	Dividend	N	T					
9. Gen. American Inv. (common) (GAM) ([redacted]	E	Dividend	O	T					
10. Chase Bank (account)[redacted]	A	Interest	J	T					
11. Chase Bank (account) (self)	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 (self [redacted]) (VFIJX)	B	Interest	M	T					
16. Vanguard GNMA Fixed Income Fund (trust) (VFIJX)	B	Interest	L	T					
17. FHKCX		None			Sold	02/09/23	K	C	

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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☐ 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. FEMKX		None			Sold	02/09/23	J	A	
19. FXAIX (symbol changed from FUSVX)		None			Sold	02/09/23	N	G	
20. FLGEX		None			Sold	02/09/23	K	D	
21. HGOAX (symbol changed from HGOCX)		None			Sold	02/09/23	K		
22. IHSAX		None			Sold	02/09/23	K		
23. HGXAX (symbol changed from HNSAX)		None			Sold	02/09/23	K		
24. IHOAX (symbol changed from HIOCX)		None			Sold	02/09/23	K		
25. ITHAX (symbol changed from HCACX)		None			Sold	02/09/23	J	A	
26. IGNAX (symbol changed from IGNCX)		None	J	T					
27. VTRIX		None			Sold	02/09/23	J	A	
28. Fidelity Gov't Money Fund	C	Interest	K	T					
29. VDIGX		None			Sold	02/09/23	O	G	
30. JPMorgan Tax Free Bond VANTX self	A	Interest	K	T					
31. VOO	C	Dividend	M	T					
32. Jacksonville 5.375 8/15/23	C	Interest			Redeemed	08/15/23	L		
33. Guam Pwr Bond 5.0 10/1/26 See * in Section VIII.									
34. Guam Arpt Bond 5.00 10/1/23 This bond was sold 10/05/22, with no gain	B	Interest			Redeemed	10/02/23	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
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35. Guam Pwr 5.00 10/01/34	C	Interest	K	T					
36. Mississippi Dev. 6.75 12/1/33	D	Interest	L	T					
37. NY Dorm 5.0 10/1/26	A	Interest	J	T					
38. NY Dorm 5.0 10/1/30	B	Interest	K	T					
39. NY Dorm 5.0 10/1/28	B	Interest	K	T					
40. NYS Dorm 5.00 10/01/32	B	Interest	L	T					
41. NY HSG FIN 3.45 11/1/33	A	Interest	K	T					
42. NYS MTG 3.625 10/1/38	A	Interest	J	T					
43. Suffolk 5.00 2/1/26	B	Interest	K	T					
44. Suffolk 5.00 10/15/23	C	Interest			Redeemed	10/16/23	L		
45. Virgin I Bond 5.0 10/1/28	B	Interest	K	T					
46. Virgin I Pub Fin 5.25 10/1/24	A	Interest			Redeemed	10/02/23	J		
47. NY Util. Debt 5.0 12/15/32	C	Interest	L	T					
48. NY Util. Debt 5.0 12/15/36	B	Interest	K	T					
49. UTIL 5.00 12/15/27	C	Interest	M	T					
50. Georgia Loc Gov 4.750 06/01/28	B	Interest	L	T					
51. Hudson Yards 4.00 2/15/38	C	Interest	M	T					

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52. NYCity HS 3.7 11/1/38	B	Interest	K	T					
53. NYCity HS 4.150 11/1/38	C	Interest	L	T					
54. NYC HS 3.450 11/1/37	C	Interest	L	T					
55. NYC TR 4.00 7/15/35	A	Interest	K	T					
56. NY Dorm 5.00 11/1/26	B	Interest	K	T	Redeemed (part)	11/01/23	J		
57. NYS HS 3.050 11/1/36	B	Interest			Sold	12/27/23	L		
58. NYS Dorm 5.000 3/15/36	B	Interest	L	T					
59. NYS Dorm 3.000 8/1/39	A	Interest	K	T					
60. NYS Dorm 4.000 2/1/40	C	Interest	M	T					
61. NYS Dorm 5.000 7/1/36	B	Interest	K	T					
62. NYS Twy 4.000 3/15/36	B	Interest	L	T					
63. NYS Urban 5.000 3/15/38	C	Interest	L	T					
64. Huntington NY 4.000 6/15/35	C	Interest	L	T					
65. Monroe NY 5.000 5/1/32	B	Interest	L	T					
66. NYC mu 5.00 6/15/36	C	Interest	L	T					
67. NYC TR 5.00 11/1/24	C	Interest	M	T					
68. NYC mu 5.00 6/15/31	B	Interest	K	T					

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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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69. NYC TR 5.00 7/15/31	C	Interest	L	T					
70. NYS Dorm 5.00 7/1/35	B	Interest	L	T					
71. NYS TWY 5.00 1/1/32	B	Interest	L	T					
72. NYS Urban 5.00 3/15/27	C	Interest	L	T					
73. NYS Urban 5.00 3/15/36	B	Interest	K	T					
74. Syracuse NY 4.00 5/1/32	C	Interest	L	T					
75. Monroe 5.00 7/1/31	B	Interest	L	T					
76. NYS Dorm 5.00 3/15/28	C	Interest	L	T					
77. NYCTR 4.000 8/1/35		None	L	T	Buy	12/05/23	L		
78. NYC TR 5.000 8/1/36		None	K	T	Buy	11/14/23	K		
79. NYS Dorm 5.000 10/1/24		None	K	T	Buy	11/29/23	K		
80. NYS Urban DE 5.000 3/15/25		None	J	T	Buy	12/01/23	J		
81. Northeastern Clinton 4.500 6/27/24		None	K	T	Buy	11/27/23	K		
82. Pine VY Cent School 4.750 6/8/24		None	L	T	Buy	10/04/23	L		
83. CENT Puget 4.75 2/1/28 [redacted]	B	Interest	K	T	Redeemed (part)	02/12/23	J		
84. Guam Arpt. Bond 5.00 10/1/23 [redacted]	B	Interest			Redeemed	10/02/23	K		
85. Monroe 5.00 6/1/24 ([redacted]	B	Interest	L	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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86. NYC HS 3.050 11/1/49[redacted]	A	Interest	K	T					
87. NY HSG 3.45 11/1/33	A	Interest	K	T					
88. NY Dorm 5.00 3/15/35[redacted]	C	Interest	L	T					
89. NY Dorm 5.00 3/15/37[redacted]	B	Interest	L	T					
90. NY Dorm 4.00 2/1/30 ([redacted]	B	Interest	L	T					
91. Onondaga 5.00 5/1/27 ([redacted]	B	Interest	K	T					
92. NYS Dorm 5.0 10/1/26 - s[redacted]	A	Interest	J	T					
93. NY Dorm 5.00 3/15/31 (BX2) ([redacted]	B	Interest	K	T					
94. NYS Urban Bond 5.00 3/15/26[redacted])	A	Interest			Redeemed	03/15/23	K		
95. NY Twy 5.0 1/1/33[redacted]	B	Interest	K	T					
96. NYS MTG 3.00 10/1/31[redacted]	B	Interest	K	T					
97. NYS MTG 3.80 4/1/45 ([redacted]	A	Interest	K	T					
98. Puerto Rico Pub Fin[redacted] 5.125 6/1/24	A	Interest	J	T	Redeemed (part)	06/01/23	J		
99. Virgin I 5.0% ([redacted]) 10/1/28 Bond`	B	Interest	K	T					
100. Virgin I. 5.0%[redacted]) 10/1/30 Bond	B	Interest	K	T					
101. Utility 5.00 12/15/27[redacted]	C	Interest	L	T					
102. Utility Debt[redacted] 5.00 12/15/30	B	Interest	K	T					

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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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103. NYC Mu WTR 5.000 6/15/41[redacted]	B	Interest	K	T					
104. NYS Hsg 4.000 11/1/38[redacted]	A	Interest	K	T					
105. NYS Dorm 5.000 3/15/46 ([redacted]	B	Interest	L	T					
106. NYS Dorm 3.000 10/1/38[redacted])	A	Interest	K	T					
107. NYS Urban 5.000 3/15/36[redacted])	B	Interest	L	T					
108. Virgin I. 5.000 7/1/31[redacted]	B	Interest	K	T					
109. Long Is PWR 5.00 9/1/35 ([redacted]	B	Interest	L	T					
110. NYC mu 5.00 6/15/36[redacted]	B	Interest	L	T					
111. NYC TR 5.00 11/1/26 ([redacted]	B	Interest	K	T					
112. NYS Dorm 5.00 7/1/34[redacted]	B	Interest	L	T					
113. NYS Dorm 5.00 7/1/29[redacted]	B	Interest	K	T					
114. NYS Dorm 5.00 3/15/35[redacted]	B	Interest	L	T					
115. NYS Dorm 5.00 3/15/31 (FB6)[redacted]	B	Interest	K	T					
116. NYS Dorm 5.00 3/15/31 (w52)[redacted]	A	Interest	K	T					
117. Utility 5.00 12/15/34[redacted]	B	Interest	K	T					
118. NYC TR 5.00 7/15/31[redacted]	B	Interest	K	T					
119. NYC TR 5.000 8/1/26[redacted]		None	L	T	Buy	10/13/23	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
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.	07/17/2024

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)	
120. NYC MU 5.000 6/15/37[redacted]	B	Interest	K	T	Buy	02/16/23	K		
121. NYS TWY 5.000 1/1/30[redacted]	A	Interest	K	T	Buy	03/06/23	K		
122. NYS Urb 4.000 3/15/36 ([redacted]	A	Interest	K	T	Buy	03/24/23	K		
123. Saratoga 5.000 7/1/27[redacted]	A	Interest	K	T	Buy	02/15/23	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

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

* Line 33 - This bond was sold 10/05/22, with no gain. In my report FY 2022, I should have noted the sale and should not have included a VALUE Code.

Name of Person Reporting	Date of Report
Leval, Pierre N.	07/17/2024

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/ 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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