AO 10
Rev. 1/2007

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2006

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) STRAUB, CHESTER J	2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR	3. Date of Report 05/2/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ACTIVE CIRCUIT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address UNITED STATES COURTHOUSE 500 PEARL STREET NEW YORK, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer________ Date________	

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. Sign on last page.

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	TRUSTEE	LENOX HILL HOSPITAL - RESIGNED MARCH 31, 2006
2.	TRUSTEE	MANHATTAN EYE EAR AND THROAT HOSPITAL - (A LENOX HILL HOSPITAL SUBSIDIARY) - RESIGNED MARCH 31, 2006
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of instructions.)*

☒ NONE *(No reportable agreements.)*

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	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2006	NYS RETIREMENT SYSTEM (RETIREMENT BENEFIT)	$ 5,771.68
2.			
3.			
4.			
5.			

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 AND TYPE
1.		
2.		
3.		
4.		
5.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DESCRIPTION
1.	LENOX HILL HOSPITAL	TAXI FARES IN CONNECTION WITH TRUSTEE MEETINGS.
2.		THE HOSPITAL PAID FOR TAXIS HOME FROM LENOX HILL HOSPITAL NEW YORK ON THREE OCCASIONS IN JANUARY, FEBRUARY AND MARCH OF 2006.
3.		
4.		
5.		

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*

[X] NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*

[ ] NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	WASHINGTON MUTAL	CO-OBLIGOR: MORTGAGE LOAN	L
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. **FIDELITY INVESTMENTS**									
2. JACKSON TWP NJ AMBAC INSD DTD 12/1/03 F/C 6/1/04	A	Interest	K	T					
3. NY ST DORM AUTH REVS CITY UNIV CONS-5TH GEN-C MBIA 4/10/03	C	Interest	L	T					
4. NY CITY MUN WTR F/A WTR&SWR SYS RV SER B-AMBAC TCRS CSTD	B	Interest	K	T					
5. NEW YORK NY SER B AMBAC TCRS OID UNLTD/TAX CUST RCP	C	Interest			Redemption	8-15	L		
6. NEW YORK NY SER L MBIA B/E UNLTD TAX DTD 6/1/97	C	Interest			Redemption	8-1	K		
7. NEW YORK NY SER H G/O BK ENTRY FGIC INSD DTD 4/1/98	B	Interest			Redemption	8-1	K		
8. NYC SER G MBIA DD 1/9/96 DUE 2/1/2008	B	Interest			Redemption	2-1	K		
9. NEW YORK CITY G/O SER D REF BOOK MBIA 1/1/95 MAT 2/1/06	B	Interest			Redemption	2-1	K		
10. NEW YORK ST TWY AUTH HWY & BRIDGE SER A AMBAC 8/1/96	A	Interest			Redemption	4-3	K		
11. NEW YORK ST TWY AUTH HWY & BRIDGE SER A AMBAC 2/15/97	B	Interest			Redemption	4-3	L		
12. NEW YORK CITY SER G AMBAC TCRS OID 1/9/96 DUE 2/1/07	A	Interest	J	T	Part. Redem.	2-1	K		
13. NEW YORK SER I B ENTRY TAX OID 4/24/97	B	Interest	K	T					
14. NEW YORK ST TWY AU SVC CONT REV LOC HWY & BRIDGE 8/15/95	B	Interest	K	T					
15. GREENPORT NY PUB IMPT U/T FGIC 1/15/01 F/C 4.75 9/15/07	B	Interest	L	T					
16. LONG ISLAND NY PWR AU ELEC AMBAC 5/1/98 5.50 12/01/06	D	Interest			Redemption	12-1	M		
17. NEW YORK NY SER F-CR FSA OID	B	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less N =$250,001 - $500,000 P3 =$25,000,001 - $50,000,000	K =$15,001 - $50,000 O =$500,001 - $1,000,000	L =$50,001 - $100,000 P1 =$1,000,001 - $5,000,000 P4 =More than $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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STRAUB, CHESTER J	05/2/2007

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)*

☐ 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 Month - Day	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
2/22/01 4.125 08/01/08									
18. BERKSHIRE HATHAWAY INC. CLASS B		None	L	T					
19. HEWLETT PACKARD	B	Dividend	M	T					
20. ENZO BIOCHEM INC COMMON		None	J	T					
21. HEALTH CARE PPTY INVS INC COMMON	C	Dividend	L	T					
22. GREAT PLAINS ENERGY - KANSAS CITY POWER & LIGHT COMMON	B	Dividend	K	T					
23. CAPITAL ONE FINANCIAL	A	Dividend	J	T					
24. CITIGROUP	A	Dividend	J	T					
25. HOME DEPOT	A	Dividend	J	T					
26. IBM COMMON	B	Dividend	M	T					
27. GENERAL ELECTRIC COMMON	A	Dividend	J	T					
28. LOCKEED MARTIN COMMON	A	Dividend	J	T					
29. EXXON COMMON	A	Dividend	J	T					
30. 3M COMMON	A	Dividend	J	T					
31. HRPT PROPERTIES TRUST	A	Dividend	J	T					
32. MERRILL LYNCH & CO. COMMON	A	Dividend	K	T					
33. COHEN & STEERS REALTY SHARES	A	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	
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☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
34.					Buy	3-24	J		
35.					Buy	6-23	J		
36.					Buy	9-28	J		
37.					Buy	12-22	J		
38. EQUITY OFFICE PROPERTIES TRUST	A	Dividend	J	T					
39. NEW YORK ST ENVIRO FACS 5%	B	Interest	L	T					
40. NEW YORK ST URBAN DEV CORP REV CORR	C	Interest	L	T					
41. METROPOLITAN TRANS AUTH NY TRAN FACS	D	Interest	M	T					
42. NY NYC MUN WTR FIN AUTH 5.25% 6/15/2010	B	Interest	K	T					
43. NY ST TWY AUTH HWY & BRDG TR FD 5.25% 4/1/2011	C	Interest	L	T					
44. BARON GROWTH	C	Dividend	L	T	Buy	11-20	J		
45. SPARTAN 500 INDEX INVESTOR CLASS	A	Dividend	L	T	Buy	6-2	J		
46.					Buy	12-19	J		
47. AMERICAN GROWTH FUND OF AMERICA CLASS F	A	Dividend	L	T	Buy	12-19	J		
48. ROYCE TOTAL RETURN FUND	C	Dividend	L	T	Buy	3-10	J		
49.					Buy	6-9	J		
50.					Buy	9-11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
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51.					Buy	12-5	J		
52. S&P MID CAP 400 DEP RCPYS MID CAP	A	Dividend	M	T					
53. FIDELITY NY MUNI MM	A	Interest	J	T					
54. FIDELITY CONTRAFUND		None	M	T	Buy	12-29	L		
55. SELECTED AMERICAN SHARES CL D		None	M	T	Buy	12-29	M		
56. **CITIBANK ACCOUNTS**									
57. CHECKING [redacted]		None	J	T					
58. PREF. MONEY MARKET [redacted]	A	Interest			Liquidated	3-1	J		
59. **FIDELITY IRA ROLLOVER**									
60. MARSH & MCLENNAN	A	Dividend	K	T					
61. FIDELITY CASH RESERVES	A	Dividend	N	T					
62. FEDL HOME LOAN BK.S CON BD 5.885% 3/30/2009	C	Interest	L	T					
63. S&P 500 DEPOSITORY RECEIPT (SPY) UNIT SERIES I	D	Dividend	N	T	PARTIAL SALE	2-2	N	E	
64. S&P MID CAP 400 DEP RCPTS MID CAP SPDRS	B	Dividend	M	T					
65. FEDL HOME LN BANK CONS BD 5.625% 11/15/2011	C	Interest	K	T					
66. FEDERAL HOME LN BKS CONS BD 5.475% 1/12/2009	D	Interest	M	T					
67. FEDERAL HOME LN BKS CONS BD	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
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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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5.79% 4/27/2009									
68. FEDERAL HOME LN BKS CONS BD 6.715% 6/29/2009	D	Interest	M	T					
69. AMERICAN GROWTH FUND OF AMERICA CLASS F (GFAFX)	B	Dividend	M	T					
70.					Buy	12-19	J		
71. DODGE & COX STOCK FUND (DODGX)	D	Dividend	N	T					
72.					Buy	3-31	J		
73.					Buy	6-29	J		
74.					Buy	9-28	J		
75.					Buy	12-28	J		
76. TWEEDY BROWNE GLOBAL VALUE FUND	C	Dividend	N	T					
77.					Buy	12-28	J		
78. BARON GROWTH	D	Dividend	M	T					
79.					Buy	11-20	J		
80. ROYCE TOTAL RETURN FUND	D	Dividend	M	T					
81.					Buy	3-10	J		
82.					Buy	6-10	J		
83.					Buy	9-11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less N =$250,001 - $500,000 P3 =$25,000,001 - $50,000,000	K =$15,001 - $50,000 O =$500,001 - $1,000,000	L =$50,001 - $100,000 P1 =$1,000,001 - $5,000,000 P4 =More than $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
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84.					Buy	12-5	J		
85. GOOGLE		None	K	T					
86. SPARTAN 500 INDEX IVESTOR CLASS	A	Dividend	K	T	Buy	6-2	J		
87.					Buy	12-22	J		
88. FIDELITY CONTRAFUND		Dividend	M	T	Buy	2-2	M		
89.					Buy	2-3	J		
90.					Buy	3-3	K		
91.					Buy	8-31	L		
92.					Buy	12-19	K		
93. SELECTED AMERICAN SHARES		Dividend	M	T	Buy	2-2	M		
94.					Buy	3-3	K		
95.					Buy	12-1	J		
96. US TREAS NTS 6.5% 10/15/2006	D	Interest			Redemption	10-16	J		
97. US TREAS NTS 6.125% 8/15/2007	D	Interest	M	T					
98. US TREAS NTS 4.75% 11/15/2008	D	Interest	N	T					
99. US TREAS NTS 6.0% 8/15/2009	E	Interest	N	T					
100. **FIDELITY IRA**									

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
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101. FIDELITY CASH RESERVES			J	T					
102. AMERICAN GROWTH (GFAFX)	A	Dividend	J	T	Buy	12-19	J		
103. **FIDELITY IRA**									
104. SPARTAN MARKET INDEX FUND	A	Dividend	J	T					
105.					Buy	6-2	J		
106.					Buy	12-22	J		
107. FIDELITY CASH RESERVES	A	Dividend	J	T					
108. US TREAS NTS 4.75% 11/15/2008	A	Interest	J	T					
109. DODGE & COX STOCK FUND	A	Dividend	J	T					
110.					Buy	3-31	J		
111.					Buy	6-29	J		
112.					Buy	9-28	J		
113.					Buy	12-28	J		
114. TWEEDY BROWNE GLOBAL VALUE	A	Dividend	K	T					
115.					Buy	12-28	J		
116. BARON GROWTH	A	Dividend	J	T					
117.					Buy	11-20	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
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STRAUB, CHESTER J	05/2/2007

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)*

☐ 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
118. FIDELITY CONTRAFUND	B	Dividend	J	T	Buy	8-31	J		

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
STRAUB, CHESTER J	05/2/2007

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

Name of Person Reporting	Date of Report
STRAUB, CHESTER J	05/2/2007

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 [redacted] Date 5/3/07

NOTE: ANY [redacted] LSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMI[redacted]

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544