


**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2005**

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

<b>1. Person Reporting (last name, first, middle initial)</b> Leval, Pierre N	<b>2. Court or Organization</b> U.S. Court of Appeals, 2nd Cir	<b>3. Date of Report</b> <i>Extension granted</i> 06/15/2006 <i>see VIII</i>
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b> Senior	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b> 01/01/2005 to 12/31/2005
<b>7. Chambers or Office Address</b> 40 Foley Square Rm 1901 New York, NY 10007	<b>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.</b>  Reviewing Officer _____ Date _____	
<p><b>IMPORTANT NOTES:</b> 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.</p>		

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

NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Council member	The American Law Institute
2. Trustee, Executor & Power of Attorney	
3. Member - Photography Committee	Museum of Modern Art
4.	
5.	

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

NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. Jan. 2005	As executor, contract with Stribling & Co. for representation in sale of an apartment (contract does not reflect an exact date).
2. Feb 10, 05	As executor, contract with Christie's, Inc. for sale of works of art.
3. Aug. 2005	As executor, contract with J. Millstone for sale of apartment at New York, NY (contract does not show an exact date).
4.	

**FINANCIAL DISCLOSURE REPORT**  
Page 2 of 13

<b>Name of Person Reporting</b> Leval, Pierre N	<b>Date of Report</b> 06/15/2006
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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
1.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	State St. Cultural Inst. Pension Plan - pension
2.	DePaul University - services rendered
3.	El Museo del Barrio - services rendered
4.	Arlington Arts Center - services rendered
5.	

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

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

NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	
2.	
3.	
4.	
5.	

**FINANCIAL DISCLOSURE REPORT**  
Page 3 of 13

<b>Name of Person Reporting</b> Leval, Pierre N	<b>Date of Report</b> 06/15/2006
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**V. GIFTS.** *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*

NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

**VI. LIABILITIES.** *(Includes those of spouse and dependent children. See pp. 32-34 of instructions.)*

NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. MONY	Loan on life insurance policy	L
2.		
3.		
4.		
5.		

**FINANCIAL DISCLOSURE REPORT**  
Page 4 of 13

Name of Person Reporting <b>Leval, Pierre N</b>	Date of Report <b>06/15/2006</b>
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**VII. INVESTMENTS and TRUSTS** – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(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. Abbot Labs (common stock)(self [redacted])	E	Dividend	O	T	Sell part	8/5	M	G	
2. Exxon Mobil (common)	D	Dividend	N	T					
3. Hospira (common stock)(self [redacted])					Sell	5/3	L		
4. Schering Plough (common)(self [redacted])	D	Dividend	N	T					
5. "					Sell part	1/6	L	F	
6. "					"	1/7	M	G	
7. "					"	4/28	M	G	
8. "					"	5/3	M	G	
9. "					"	8/3	M	G	
10. "					"	8/4	K	E	
11. "					"	10/19	M	G	
12. PE Biosystems (common)(Perkin Elmer)(PKI)	B	Dividend	M	T					
13. PE Celera Genomics (common) (CR)			K	T					
14. USX	A	Dividend	J	T					
15. Daimler Chrysler (common)	A	Dividend	J	T					
16. FMC Money Mkt (self [redacted])	A	Interest	K	T					
17. FMC Select Fund (common)(self [redacted])	G	Dividend	P1	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

**FINANCIAL DISCLOSURE REPORT**

Page 5 of 13

Name of Person Reporting <b>Leval, Pierre N</b>	Date of Report <b>06/15/2006</b>
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18. FMC Select Fund (common)					Sell part	1/5	K	B	
19. "					Buy	1/12	O		
20. "					Sell part	1/28	J	A	
21. "					Sell part	2/24	J	A	
22. "					Buy	3/18	J		
23. "					Sell part	3/30	J	A	
24. "					Buy	4/5	J		
25. "					Sell part	4/28	J	A	
26. "					Buy	5/3	M		
27. "					Buy	5/12	M		
28. "					Sell part	5/18	J	B	
29. "					Sell part	5/24	K	C	
30. "					Sell part	5/27	K	B	
31. "					Sell part	6/3	J	B	
32. "					Sell part	6/6	J	B	
33. "					Sell part	6/29	J	A	
34. "					Buy	7/5	J		

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**FINANCIAL DISCLOSURE REPORT**  
Page 6 of 13

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35. "					Sell part	7/28	J	B	
36. "					Buy	8/11	N		
37. "					Buy	8/19	J		
38. "					Sell part	8/26	J	B	
39. "					Sell part	9/7	K	B	
40. "					Sell part	9/28	J	A	
41. "					Buy	10/4	J		
42. "					Buy	10/24	M		
43. "					Sell part	10/28	J	A	
44. "					Sell part	11/29	J		
45. "					Buy	12/16	L		
46. "					Sell part	12/28	J	C	
47. "					Sell part	12/29	K	A	
48. "					Buy	12/30	J		
49. FMC Select Fund (common)(self					Buy	4/5	J		
50. "					Buy	7/5	J		
51. "					Buy	10/4	J		

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**FINANCIAL DISCLOSURE REPORT**

Page 7 of 13

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Leval, Pierre N

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52. "					Buy	12/16	J		
53. "					Buy	12/30	J		
54. FMC Select Fund (common)					Buy	1/27	J		
55. "					Buy	3/18	J		
56. "					Buy	4/05	J		
57. "					Buy	5/12	J		
58. "					Buy	5/23	J		
59. "					Buy	7/5	J		
60. "					Buy	10/14	J		
61. "					Buy	12/16	K		
62. "					Sell part	12/27	J	A	
63. "					Sell part	12/28	J	A	
64. "					Buy	12/30	J		
65. Lincoln St. Realty (limited partnership)			J	W					
66. Hershey (common)	B	Dividend	M	T					
67. Smith Barney Liquid Res Fund (common)	A	Dividend	K	T					
68. Gen. American Inv. (common) (GAM)	D	Dividend	M	T					

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**FINANCIAL DISCLOSURE REPORT**

Page 8 of 13

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Leval, Pierre N

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69. Chase Bank (account)	A	Interest	J	T					
70. Bank of New York (account)			K	T					
ASSETS HELD AS TRUSTEE OR EXECUTOR									
72. Warburg Pincus Funds (common)	C	Dividend	L	T					
73. FMC Select Fund (common)	D	Dividend			Sell	1/12	N	E	
74. Central Tel NT 7.04% 9/21/07	C	Interest			Sell	1/12	M	D	
75. Consol. Nat Gas NT 6.85% 4/15/11	C	Interest			Sell	1/12	M	E	
76. NY Tel deb. 8.625% 11/15/10	C	Interest			Sell	1/12	N	A	
77. Tel & Data Sys 7.0% 8/1/06	C	Interest			Sell	1/12	M	B	
78. U.S. Treasury 3.5% 1/15/11	D	Interest			Sell	1/12	N		
79. Westinghouse deb. 8.625% 8/1/12	D	Interest			Sell	1/12	N	D	
80. Wisc. Power deb. 7.625% 3/1/10	D	Interest			Sell	1/12	N	D	
81. Fed. Home Loan Bk 5.70% 8/15/11	B	Interest			Sell	1/12	L		
82. Fed. Home Loan Bk 4.5% 9/16/13	B	Interest			Sell	1/12	M	C	
83. Fed. Farm Cr. Bk. 6.01% 4/11/12	B	Interest			Sell	1/12	M		
84. Fed. Farm Cr. Bk. 4.85% 10/25/12	B	Interest			Sell	1/12	M	A	
85. Fed. Farm Cr. Bk. 0.00% 6/22/05	D	Interest			Sell	6/22	O		

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**FINANCIAL DISCLOSURE REPORT**  
Page 9 of 13

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86. Vornado Realty (common)					Sell	1/12	M	F	
87. Wells Fargo Mtg. Backed Sec. 4.5% 8/25/18	A	Interest			Sell	1/12	M		
88. U.S. Treasury 0.0% 6/2/05	B	Interest			Sell part	4/12	K		
89. "					Sell	6/2	K		
90. U.S. Treasury 0.0% 6/15/05	B	Interest			Sell	6/15	K		
91. Exxon Mobil (common)					Sell	1/6	O		
92. Schering Plough (common)					Sell See VIII		O	G	
93. Abbott Labs (common)					Sell	1/6	L	D	
94. Home Depot (common)					Sell	1/6	L	E	
95. Knight Ridder (common)					Sell	1/6	J		
96. Art Works			N	Q	See VIII				
97. "					Sell part	5/3	K		
98. "					Sell part	5/4	P2		
99. "					Sell part	5/5	O		
100. "					Sell part	5/29	O		
101. "					Sell part	6/8	K		
102. "					sell part	6/10	N		

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**FINANCIAL DISCLOSURE REPORT**  
Page 10 of 13

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103. "					sell part	6/14	J		
104. "					sell part	7/12	K		
105. "					sell part	9/7	J		
106. "					sell part	9/20	J		
107. "					sell part	9/23	K		
108. "					sell part	10/19	K		
109. "					sell part	11/1	K		
110. "					sell part	11/2	K		
111. "					sell part	11/29	J		
112. "					sell part	12/13	K		
113. Bank of New York (account & money market fund)	E	Interest	N	T					
114. Apartment in New York, NY			P2	V	See VIII				
115. U.S. T-Bills 1/12/06 0.0%			P1	T	Buy	7/15	P1		
116. U.S. T-Bills 1/26/06 0.0%			O	T	Buy	7/28	O		
117. Cash			J	T					
118. Fed. Home Loan Bk 0.0% 7/15/05					Buy	1/14	P1		
119. "	E	Interest			Sell	7/15	P1		

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**FINANCIAL DISCLOSURE REPORT**  
Page 11 of 13

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Date of Report  
06/15/2006

**VII. INVESTMENTS and TRUSTS** – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. U.S. T-Bills 0.0% 7/28/05					Buy	6/23	O		
121. U.S. T-Bills 0.0% 7/28/05	B	Interest			Sell	7/28	O		
122.									
123.									
124.									
125.									
126.									
127.									
128.									
129.									
130.									
131.									
132.									
133.									
134.									
135.									
136.									

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

**FINANCIAL DISCLOSURE REPORT**

Page 12 of 13

Name of Person Reporting	Date of Report
Leval, Pierre N	06/15/2006

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

NOTE: Re: Date of Report: I received an Extension to July 15, 2006, to file report.

In Part VII, item no. 92, Schering Plough (common), this position was sold 12/1/04 and was accidentally omitted from the 2004 Report.

In Part VII, item no. 96, "Art Works," the date of the appraisal was Jan. 20, 2005.

In Part VII, item no. 114, "Apartment in New York, NY, the reported valuation is based on the price at which the apartment was subsequently sold.

**FINANCIAL DISCLOSURE REPORT**  
Page 13 of 13

Name of Person Reporting  
Leval, Pierre N

Date of Report  
06/15/2006

**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.

Date 6-15-06

AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

**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