AO 10 Rev. 1/2010

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009

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	5/15/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior	**5a. Report Type** (check appropriate type) ☐ Nomination, Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	**6. Reporting Period** 01/01/2009 to 12/31/2009
7. Chambers or Office Address 40 Foley Square Rm 1901 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 filing instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Council member	The American Law Institute
2.	Trustee, Executor	[redacted]
3.	Member - Photography Committee	Museum of Modern Art
4.		
5.		

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

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

A. Filer's Non-Investment Income

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. February	Intellectual Property Visitor - Lewis & Clark Law School -Portland, OR - Teaching	$5,000.00
2. June	Nice International Law Summer Abroad Program - Thomas Jefferson School of Law - Nice, FRANCE -Teaching	$3,000.00
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 AND TYPE
1. Jan-Dec.	State St. Cultural Inst. Pension Plan - pension
2. Spring	New York University - teaching
3. January	U.S. Institute of Museum & Library Services - arts funding panel
4. Sprg/Fall	Pollock -Krasner Foundation
5. Fall	Hunger College

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

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

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	American Bar Assn	Feb. 5-7, 2009	Phoenix, AZ	Teaching	travel/lodging/food
2.	Copyright Society	June 2, 2009	Washington, D.C.	Lecture	travel/food
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

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

☑ 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 filing instructions.)*

☐ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1.	Abbot Labs (common [redacted]	E	Dividend	O	T	Sold (part)	02/24/09	N	G	
2.	Exxon Mobil (common)	D	Dividend	N	T	Sold (part)	02/24/09	M	F	
3.	Applera ApplBiosys (ABI) (See Part VIII *)	B	Dividend			Sold (part)	09/15/09	M		
4.	"		None			Merged (with line 6)	09/15/09	M		
5.	Life Technologies		None	M	T		09/15/09	M		
6.	Applera - Celera Gen (CRA) (formerly PE Celera Genomics(com)		None	K	T					
7.	MRO	A	Dividend	J	T					
8.	Daimler Chrysler (common)	A	Dividend	J	T					
9.	FMC Money Mkt [redacted]) (Dreyfus)	A	Interest	J	T					
10.	FMC Select Fund (common) [redacted])	E	Dividend	N	T					
11.	FMC Select Fund - self (See Part VIII **)		None			Sold (part)	01/12/09	K		
12.	" - self		None			Sold (part)	01/13/09	K		
13.	" - self		None			Sold (part)	01/29/09	J		
14.	" - self		None			Sold (part)	02/24/09	N		
15.	" - self		None			Sold (part)	03/30/09	J		
16.	" - self		None			Buy	04/02/09	J		
17.	" - self		None			Sold (part)	04/28/09	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	
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	

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of 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 mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. " - self		None			Sold (part)	05/28/09	J		
19. " - self		None			Sold (part)	06/08/09	K		
20. " - self		None			Sold (part)	06/29/09	J		
21. " - self		None			Buy	07/02/09	J		
22. " - self		None			Sold (part)	07/30/09	J		
23. " - self		None			Sold (part)	08/28/09	J		
24. " - self		None			Sold (part)	09/01/09	J		
25. " - self		None			Sold (part)	09/28/09	J		
26. " - self		None			Buy	10/02/09	J		
27. " - self		None			Sold (part)	10/28/09	J		
28. " - self		None			Sold (part)	11/23/09	J		
29. " - self		None			Sold (part)	12/28/09	J		
30. " - self		None			Sold (part)	12/29/09	K		
31. " self		None			Buy	12/31/09	J		
32. " - [redacted]		None			Sold (part)	02/24/09	M		
33. " - [redacted]		None			Buy	04/02/09	J		
34. " - [redacted]		None			Buy	07/02/09	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	
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	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. " - [redacted]		None			Buy	10/02/09	J		
36. " - [redacted]		None			Sold (part)	12/29/09	K		
37. " - [redacted]		None			Buy	12/31/09	J		
38. Lincoln St. Realty (limited partnership)		None	J	W					
39. Hershey (common)(s)	B	Dividend	L	T	Sold (part)	02/24/09	K	E	
40. Smith Barney Liquid Res Fund (common) (s)	B	Dividend	K	T					
41. Gen. American Inv. (common) (GAM) (s)	C	Dividend	M	T					
42. Chase Bank (acccount) (s)	A	Interest	J	T					
43. Chase Bank account self		None	M	T					
44. Citibank account		None	J	T					
45. Art Works		None	L	W					
46. Chase (Bank of NY) account (trust)		None	J	T					
47. Vanguard GNMA Fixed Income Fund (trust)	C	Interest	L	T					
48. FHKCX	A	Dividend	J	T	Sold (part)	01/12/09	J		
49. FEMKX	A	Dividend	J	T	Sold (part)	01/12/09	J		
50. FSMAX	A	Dividend	J	T	Sold (part)	01/12/09	K		
51. FLGEX	A	Dividend	J	T	Sold (part)	01/12/09	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	
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	

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. HGOCX		None	J	T	Sold (part)	01/13/09	J		
53. IHSAX		None	J	T	Sold (part)	01/13/09	J		
54. HNSCX		None	J	T	Sold (part)	01/13/09	K		
55. HIOCX		None	J	T	Sold (part)	01/13/09	K		
56. HCACX		None	J	T	Sold (part)	01/12/09	K		
57. IGINCX	A	Dividend	J	T	Sold (part)	01/13/09	J		
58. TILFX	A	Dividend	K	T					
59. VTRIX	A	Dividend	J	T	Sold (part)	01/13/09	J		
60. FNYXX	B	Interest	O	T	Buy (add'l)	01/14/09	M		
61. Alabama 5.25 bond 11/1/15	A	Interest	K	T	Buy (add'l)	05/22/09	J		
62. California 4.90 bond	C	Interest	L	T	Buy	03/03/09	L		
63. Detroit 5.5 bond	B	Interest			Sold	04/22/09	L		
64. E. Rochester 5.375 bond	D	Interest	M	T					
65. E. Rochester 5.00 8/15/27	C	Interest	L	T	Buy	04/22/09	L		
66. Farmington 5.7 bond	B	Interest	K	T					
67. Kentucky 6.0 bond	C	Interest	L	T	Sold (part)	10/01/09	J		
68. Mahoning 5.5 bond	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	

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. NY MTA 5.25 4/1/14 bond	D	Interest	M	T	Buy (add'l)	03/05/09	L		
70. "		None			Buy (add'l)	07/14/09	K		
71. NY MTA 5.0 7/1/15 bond	D	Interest	M	T					
72. NY MTA 5.625 7/1/16 bond	C	Interest	L	T					
73. Michigan Hosp. 5.0 8/1/22 bond	C	Interest	L	T	Buy	03/04/09	L		
74. Mission Viejo 6 bond	C	Interest	L	T					
75. Mississippi Hosp. 5.25 5/15/26 bond	B	Interest	L	T	Buy	07/17/09	L		
76. Muskingum 5.4 bond	B	Interest	K	T					
77. NYC 5.375 6/1/23 bond	D	Interest	M	T	Buy	11/09/09	L		
78. "		None			Buy (add'l)	12/02/09	K		
79. NYS Bridge 5.125 1/1/12 bond	B	Interest	K	T					
80. NY Dorm 5.1 2/15/26 bond	D	Interest	M	T					
81. NY Dorm 6.45 8/15/24 bond	D	Interest	M	T					
82. NY Dorm 5.25 8/1/25 bond	D	Interest	M	T					
83. NY Dorm 5.25 8/1/19 bond	D	Interest	M	T	Buy (add'l)	03/04/09	L		
84. "		None			Sold (part)	02/02/09	J		
85. NY Dorm 5.25 8/1/19 bond		None			Sold (part)	08/03/09	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	
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	

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of 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 mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
86. NY Dorm 5.45 8/1/29 bond	C	Interest	L	T	Buy	08/01/09	L		
87. NY Dorm 5.5 8/1/38 bond	D	Interest	M	T	Buy	03/03/09	L		
88. "		None			Buy (add'l)	03/04/09	L		
89. NY Dorm 5.4 2/1/31 bond	D	Interest	M	T					
90. NY Dorm 5.625 8/1/22 bond	D	Interest	M	T					
91. NY Dorm 6.25 2/1/36 bond	D	Interest	M	T					
92. NY Dorm 5.75 8/1/24 bond	D	Interest	M	T					
93. NY Dorm 5.375 2/1/17 bond	C	Interest	L	T					
94. NY Dorm 6.0 8/1/35 bond	C	Interest			Sold	07/09/09	M		
95. NY Dorm 5.375 8/1/27 bond	C	Interest			Sold	11/12/09	L		
96. NY Dorm 5.0 bond 4/1/12	C	Interest	L	T					
97. NY Dorm 5.45 8/1/35 bond	B	Interest	L	T	Buy	07/21/09	L		
98. NY Dorm 5.45 8/1/27 bond	D	Interest	M	T	Buy	03/03/09	L		
99. "		None			Buy (add'l)	03/04/09	K		
100. NY Dorm 5.0 2/1/18 bond	C	Interest	L	T	Buy	03/03/09	L		
101. NY Dorm 5.0 2/1/28 bond	B	Interest	L	T	Buy	02/04/09	L		
102. NYS Energy 5.5 bond 1/1/21	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		
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.	5/15/2010

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. NYS Envir. 5.125 bond 6/15/19	D	Interest	M	T					
104. NYS Urban 5.5 bond 7/1/16	B	Interest	K	T	Sold (part)	06/01/09	J		
105. Norfolk 5.75 bond 11/1/13	C	Interest	L	T					
106. NC Med 5.5 bond 10/1/24	C	Interest	L	T					
107. NC East Mun 5.5 bond 1/1/21	D	Interest	M	T	Buy (add'l)	03/03/09	L		
108. Peninsula 8.7 bond 8/1/23	C	Interest	K	T					
109. RI Dep 6.0 bond 8/1/17	C	Interest	L	T					
110. RIS Health 5.5 bond 5/15/16	C	Interest	L	T					
111. Sacramento 5.0 bond 12/1/16	C	Interest	L	T					
112. St. Paul 5.5 bond 11/1/23	C	Interest	L	T					
113. Triborough 5.25 1/1/13 bond	C	Interest	L	T					
114. Triborough 5.25 1/1/14 bond	D	Interest	M	T					
115. Washington 5.25 8/1/23 bond	D	Interest	M	T	Buy	03/04/09	M		
116. NY Dorm 5.375 2/1/17 bond	C	Interest			Buy	01/07/09	M		
117. "		None			Sold	11/12/09	M		
118. Califor. 4.9 10/1/13 [redacted]	C	Interest	L	T	Buy	02/03/09	L		
119. NY MTA 5.25 4/1/14 bond - [redacted]	C	Interest	L	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	

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Michigan 5.75 8/15/26[redacted]	B	Interest	K	T	Buy	10/02/09	K		
121. Muskingum 5.35 bond - [redacted]	A	Interest	J	T	Sold (part)	02/17/09	J		
122. NYC Mun 5.75 bond[redacted]6/15/13	A	Interest	K	T					
123. NYC Ind. 5.375 6/1/23[redacted]bond	B	Interest	L	T	Buy	11/09/09	L		
124. NY Dorm 5.1 2/15/26 bond - [redacted]	C	Interest	L	T					
125. NY Dorm 6.45 8/15/24 bond-[redacted]	C	Interest	L	T					
126. NY Dorm 5.25 8/1/25 bond - [redacted]	C	Interest	L	T					
127. NY Dorm 5.5 8/1/38[redacted]	B	Interest	L	T	Buy	03/03/09	L		
128. NY Dorm 5.375 8/1/27 bonc[redacted]	B	Interest			Sold	11/12/09	L		
129. NY Dorm 5.375 2/1/17 bond[redacted]	B	Interest	K	T	Buy	01/12/09	K		
130. NY Dorm 5.0 2/1/12 bond[redacted]	B	Interest	K	T					
131. NY Dorm 5.0 2/1/28 bond - [redacted]	C	Interest	L	T	Buy	03/03/09	L		
132. Norfolk 5.75 bond - [redacted]	C	Interest	L	T					
133. North Car. 5.5 1/1/21 bond[redacted]	C	Interest	L	T	Buy	03/03/09	L		
134. RI Health 5.5 bond - [redacted]	C	Interest	L	T	Buy	06/03/09	L		
135. New Providence Assoc. LP fund self		None	N	T	Buy	09/01/09	N		
136. JPMorgan Tax Free Bond VANTX self	A	Interest	K	T	Buy	10/09/09	K		

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	

Name of Person Reporting	Date of Report
Leval, Pierre N.	5/15/2010

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

* My end of year holding for this security is reported in Column C of Line 5, addressing the security I received on account of merger.

** The audit function comments in relation to numerous lines in which I report additional purchases and partial sales that "Column C(1) and C(2) should be completed for each asset owned on the last day of the repiort period." On the first line relating to each asset, I have filled in Column C showing my holding in that asset at the close of the year. Repeating that information on subsequent lines that report an additional purchase or a partial sale of that asset would result in double counting.

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.

[redacted]

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL 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