

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2010**

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>  Pooler, Rosemary S.	<b>2. Court or Organization</b>  Second Circuit Court of Appeal	<b>3. Date of Report</b>  5/16/2011
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b>  active	<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>  01/01/2010 to 12/31/2010
<b>7. Chambers or Office Address</b>  P.O. Box 7395 100 So. Clinton Street Syracuse, NY 13261-7395	<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 _____	
<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.		

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

NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.		
3.		
4.		
5.		

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

NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	2010	Member - New York State Employees Retirement System
2.		
3.		

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 7

Name of Person Reporting

Pooler, Rosemary S.

Date of Report

5/16/2011

**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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <small>(yours, not spouse's)</small>
1. 2010	NYS Employees Retirement System - pension	\$23,550.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2010	[REDACTED] - salary
2.	
3.	
4.	

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

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

NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 7

Name of Person Reporting <b>Pooler, Rosemary S.</b>	Date of Report 5/16/2011
--	-----------------------------

**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing 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. 32-33 of filing instructions.)*

NONE *(No reportable liabilities.)*

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

# FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting <b>Pooler, Rosemary S.</b>	Date of Report <b>5/16/2011</b>
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## 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Onondaga County, Syracuse, NY Property #1	C	Rent	L	W					
2. Onondaga County, Syracuse, NY Property #2	A	Rent	L	W					
3. Onondaga County, Syracuse, NY Property #3	B	Rent	L	W					
4. Onondaga County, Syracuse, NY Property #4	A	Rent	L	W					
5. Onondaga County, Syracuse, NY Property #5	B	Rent	L	W					
6. TIAA/CRFF Retirement	A	Interest	P1	T					
7. T. Rowe Price-Mid-cap Growth Fund	C	Dividend	M	T					
8. T. Rowe Price-NY Tax Free Fund	B	Dividend	L	T					
9. TIAA Money Market Fund	A	Interest	J	T					
10. Morgan Stanley Account									
11. - Bank of America Corp.	A	Dividend			Sold	07/29/10	J	A	
12. - Encana Corp.	A	Dividend	J	T					
13. - Exxon Mobil Corp	A	Dividend	K	T					
14. - Microsoft Corp.	A	Dividend	J	T					
15. - Newalliance Bancshares Inc.	A	Dividend	J	T					
16. - Newmont Mining Corp	A	Dividend	J	T					
17. - Norfolk Southern Corp.	A	Dividend	J	T					

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

**FINANCIAL DISCLOSURE REPORT**

Page 5 of 7

Name of Person Reporting <b>Pooler, Rosemary S.</b>	Date of Report 5/16/2011
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**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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

18. Green Mountain Coffee	A	Dividend	J	T			M		
19. Yamana Gold Inc.	A	Dividend	J	T					

- 1. Income Gain Codes:
  - 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
- (See Columns B1 and D4)
- 2. Value Codes
  - 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
  - Q = Appraisal
  - R = Cost (Real Estate Only)
  - V = Other
  - L = \$50,001 - \$100,000
  - P1 = \$1,000,001 - \$5,000,000
  - P4 = More than \$50,000,000
  - S = Assessment
  - W = Estimated
  - M = \$100,001 - \$250,000
  - P2 = \$5,000,001 - \$25,000,000
  - T = Cash Market
- (See Columns C1 and D3)
- 3. Value Method Codes
  - U = Book Value
- (See Column C2)

**FINANCIAL DISCLOSURE REPORT**

Page 6 of 7

Name of Person Reporting Pooler, Rosemary S.	Date of Report 5/16/2011
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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of report.)*

**FINANCIAL DISCLOSURE REPORT**

Page 7 of 7

Name of Person Reporting

Pooler, Rosemary S.

Date of Report

5/16/2011

**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: s/ **Rosemary S. Pooler**

**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)**

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
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