

United States Court of Appeals  
For The Second Circuit

CHAMBERS OF  
ROBERT A. KATZMANN  
UNITED STATES CIRCUIT JUDGE

PHONE (212) 857-2180  
FAX (212) 857-2189

May 12, 2006

VIA FAX AND REGULAR MAIL

SELF INITIATED  
AMENDMENT

Mr. George Reynolds  
Committee on Financial Disclosure  
Administrative Office of the United  
States Courts  
One Columbus Circle, N.E. Ste. 2-301  
Washington, DC

RE: 2005 Financial Disclosure Report  
Judge Robert A. Katzmann

Dear Mr. Reynolds:

Enclosed is the amended page for the 2005 Financial Disclosure Report - Part IV, Reimbursements. My trip to the JFK School of Government was inadvertently left out of the original which was mailed on May 9, 2006.

Thank you for your attention to this matter.

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Encl.

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DISCLOSURE OFFICE

AMENDED

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting Katzmann, Robert A.	Date of Report 5/9/06
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**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.  
*(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>
<input type="checkbox"/>	NONE (No such reportable reimbursements.)	
1	Aspen Institute Judges Seminar 4/29 - 5/1, 2005 (Wye, Maryland)	Room, food, conference facilities
2	JFK School of Government (Lecture) (Cambridge, MA)	Travel and hotel expenses
3		
4		
5		
6		
7		

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
<input checked="" type="checkbox"/>	NONE (No such reportable gifts.)		
1			\$
2			\$
3			\$
4			\$

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE*</u>
<input checked="" type="checkbox"/>	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			

\*Value Codes: 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=\$50,000,001 or more

## FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2005

<b>1. Person Reporting</b> <i>(Last name, first, middle initial)</i>  Katzmann, Robert A.	<b>2. Court or Organization</b>  U.S. Court of Appeals - 2d Circuit	<b>3. Date of Report</b>  5/9/06
<b>4. Title</b> <i>(Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</i>  U.S. Circuit Judge - Active	<b>5a. Report Type</b> (check appropriate type) ___ Nomination, Date _____ ___ Initial <input checked="" type="checkbox"/> Annual ___ Final	<b>6. Reporting Period</b>  1/1/05 - 12/31/05
<b>7. Chambers or Office Address</b>  40 Foley Square New York, New York 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 _____	
<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 Instructions.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1	<input type="checkbox"/> NONE (No reportable positions.)	
1	Director (unpaid)	The Governance Institute
2	Lecturer	New York University School of Law
3		

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

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1	<input checked="" type="checkbox"/> NONE (No reportable agreements.)	
2		

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

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	
<b>A. Filer's Non-Investment Income</b>			
1	<input checked="" type="checkbox"/> NONE (No reportable non-investment income.)		\$
2			\$
3			\$

**B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)**

1	<input type="checkbox"/> NONE (No reportable non-investment income.)		\$
2			\$

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting Katzmann, Robert A.	Date of Report 5/9/06
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**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.  
(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>
<input type="checkbox"/>	NONE (No such reportable reimbursements.)	
1	Aspen Institute Judges Seminar 4/29 - 5/1, 2005 (Wye, Maryland)	Room, food, conference facilities
2		
3		
4		
5		
6		
7		

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
<input checked="" type="checkbox"/>	NONE (No such reportable gifts.)		
1			\$
2			\$
3			\$
4			\$

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE*</u>
<input checked="" type="checkbox"/>	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			

\*Value Codes: 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=\$50,000,001 or more

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting  Katzmann, Robert A.	Date of Report  5/9/06
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**VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions** (Includes those of spouse and dependent children. See pp. 34-60 of Instructions.)

A. Description of Assets (including trust assets)  <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div, rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
<input type="checkbox"/> <b>NONE</b> (No reportable income, assets, or transactions.)									
1 TIAA/CREF Pension		None	M	T					
2 TIAA/CREF SRA		None	K	T					
3 Vanguard 403(b)(7) - Explorer Fund		None	M	T					
4 - Index Fund (500 Fund)									
5 - International									
6 - High Yield									
6 Vanguard NY LT Tax-Exempt Fund	A	Div.	L	T					
7 Salomon Smith Barney IRA - Appreciation Fund		None	K	T					
8 - Natural Resources Fund									
9 Chase Manhattan Bank	A	Int.	J	T					
10 First Republic	A	Int.	None	None	Account closed 7/05				
11									
12									
13									
14									
15									
16									
17									

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4)	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: J=\$15,000 or less (See Col. C1, D3)	K=\$15,001-\$50,000 O=\$500,001-\$1,000,000 P3=\$25,000,001-\$50,000,000	L=\$50,001-\$100,000 P1=\$1,000,001-\$5,000,000 P4=More than \$5,000,000	M=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000	
3	Value Method Codes: Q=Appraisal (See Col. C2)	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting Katzmann, Robert A.	Date of Report 5/9/06
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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)**

**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 

Date 5/9/06

NOTE: ANY INDIVIDUAL WHOSE NAME IS OBTAINED WHO WILLFULLY 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