

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Lohier, Raymond J.	2. Court or Organization Second Circuit	3. Date of Report 11/09/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Thurgood Marshall United States Courthouse 40 Foley Square, Room 2403 New York, NY 10007		
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.		

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.	Trustee	Trust #1
2.	Trustee	New York University Law School
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.		
2.		
3.		

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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.		
2. 2016	New York University School of Law - Teaching	\$20,000.00
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.	
2. 2016	City University of New York School of Law - Salary
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Law Institute	January 21 - 22, 2016	Philadelphia	Bar Association	Transportation, Meals, Hotel
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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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) 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. American Century Growth Stock Fund	A	Dividend	K	T					
2. American Century Ultra Stock Fund	A	Distribution	K	T					
3. American Century Retirement Growth Stock Fund	A	Distribution	K	T					
4. IRA AIG American Pathway (Annuity)	A	Int./Div.	K	T					
5. Fidelity Asset MGR	A	Int./Div.	K	T					
6. Fidelity Growth Co.	A	Int./Div.	L	T					
7. Fidelity Worldwide Fund (Fidelity Roth IRA)	A	Int./Div.	K	T					
8. Fidelity Retirement Money Market	A	Interest	K	T					
9. Fidelity Investment Contract	A	Interest	J	T					
10. Fidelity SIT MidCap Growth Fund	A	Interest	K	T					
11. Fidelity Magellan		None	M	T					
12. Janus 20 Fund	C	Distribution	J	T					
13. Janus Global Technology Fund	A	Distribution	J	T					
14. Vanguard Growth Index Fund	A	Int./Div.	K	T					
15. Vanguard Small Cap Index Fund	A	Int./Div.	K	T					
16. Vanguard 500 Index Fund	A	Int./Div.	K	T					
17. Vanguard Total Stock Market ETF mutual fund (Wachovia Roth IRA)	A	Int./Div.	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 = \$250,000.001 - \$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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☐ 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 I (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)

18. TIAA Cref Retirement Fund	A	Interest	N	T					
19. T Rowe Price New Horizons Fund	C	Distribution	L	T					
20. T Rowe Price International Stock Fund	A	Int./Div.	K	T					
21.									
22. Vanguard Windsor 2 Fund	A	Int./Div.	J	T					
23. Bank of America Common Stock	A	Dividend	J	T					
24. Becton Dickinson & Co. common stock	A	Int./Div.	K	T					
25. Chevron common stock	B	Dividend	K	T					
26. Cisco, Inc. common stock		None	J	T					
27. Dow Chemical common stock	A	Dividend	J	T					
28. Honeywell International Common Stock	A	Dividend	K	T					
29. Intel Corp. common stock	A	Dividend	J	T					
30. Microsoft Corp. common Stock	A	Dividend	L	T					
31. OGE Energy Corp.	A	Int./Div.	K	T					
32. Staples Inc. Common stock	A	Dividend	J	T					
33. Time Warner Cable Inc.		None			Closed	05/18/16	J		
34. Time Warner Inc., common stock	A	Dividend	J	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	
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35. Trust #1		None	O	W					
36. First Clearing LLC (X)	E	Dividend	K	T					
37. Apple Inc. (X)	B	Dividend	L	T					
38. Corning Inc. (X)	A	Dividend	K	T					
39. Prudential Financial Inc. (X)	A	Dividend	K	T					
40. Qualcomm (X)	A	Dividend	J	T					
41. Invesco Floating Rate Mutual Fund (X)	C	Dividend	M	T					
42. Prudential Jenn Value Fund C (Mutual Fund) (X)	C	Distribution	L	T					
43. Prudential Short Term Corporate Bond Fund (Mutual Fund) (X)	A	Dividend	L	T					
44. Charter Communications	A	Dividend	J	T	Merged (with line 33)	05/18/16	J		
45. Blackrock Muni 2020 Term Trust	B	Dividend	L	T					
46. Vanguard Target 2030	A	Interest	L	T					
47. Fidelity Contrafund	A	Interest	K	T					
48. China Mobile Ltd,		None			Sold	10/21/14	J		
49. IBM Corp Common Stock		None			Sold	10/21/14	K	B	
50. International Game Technology common stock		None			Sold	12/09/13	J		
51. Oracle Corp common stock		None			Sold	12/09/13	J	C	

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52.									
53.									

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

1) Part I and Part VII

"Trust #1 is an "unfunded trust" whose sole asset is a term life insurance policy.

Part VII

Item in lines 46 reflects "property that is the sole financial interest or responsibility of the spouse or child; that is not derived from the assets, income or activities of the reporting person; from which the reporting person does not derive or expect to derive a benefit; and" until recently "of which the reporting person" had "no knowledge." In connectin with preparing this year's report, I very recently became aware of these assets, which are controlled by my father-in-law for the benefit of my wife, and which are in an account in the name of my wife. These assets were apparently purchased for the benefit of my wife's account well before the 2016 reporting period.

Item in lines 47 and 48 is a blended fund investment and a mutual fund investment in an old Fidelity employee benefits account from a prior employer in 1997 that was not previously reported.

In my initially filed 2016 report I mistakenly included Sun America Fund/Annuity, which has merged with AIG American Pathway. Now only the new name, AIG American Pathway (Annuity), appears in row 4 of the amendemd report.

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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/ **Raymond J. Lohier**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY 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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Washington, D.C. 20544