

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Lohier, Raymond J.                                                                                                                   | <b>2. Court or Organization</b><br><br>Second Circuit                                                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>01/06/2016                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Circuit Judge                                                            | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>Thurgood Marshall United States Courthouse<br>40 Foley Square, Room 2403<br>New York, NY 10007                                                                |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><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.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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<br>(yours, not spouse's) |
|---------|----------------------------------------------|---------------------------------|
| 1.      |                                              |                                 |
| 2. 2015 | 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. 2015 | 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             | May 17-20, 2015 | Washington, DC | Bar Association | Transportation, Meals, Hotel |
| 2. Securities and Exchange Commission | Sept. 20, 2015  | Washington, DC | Panel/Speech    | Transportation, Meal, Hotel  |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. American Century Growth Stock Fund                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. American Century Ultra Stock Fund                                                                                        | A                                       | Distribution                                  | J                                               | 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.                                     | K                                               | 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                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Fidelity Magellan                                                                                                       |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Sun America Fund/Annuity                                                                                                |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Janus 20 Fund                                                                                                           | C                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Janus Global Technology Fund                                                                                            | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Vanguard Growth Index Fund                                                                                              | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Vanguard Small Cap Index Fund                                                                                           | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Vanguard 500 Index Fund                                                                                                 | A                                       | Int./Div.                                     | K                                               | 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 –\$250,000,001 - \$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 \$5,000,000 | 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                                             |                        |

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                     |   |              |   |   |                          |          |   |  |  |
|---------------------------------------------------------------------|---|--------------|---|---|--------------------------|----------|---|--|--|
| 18. Vanguard Total Stock Market ETF mutual fund (Wachovia Roth IRA) | A | Int./Div.    | K | T |                          |          |   |  |  |
| 19. TIAA Cref Retirement Fund                                       | A | Interest     | N | T |                          |          |   |  |  |
| 20. T Rowe Price New Horizons Fund                                  | C | Distribution | L | T |                          |          |   |  |  |
| 21. T Rowe Price International Stock Fund                           | A | Int./Div.    | K | T |                          |          |   |  |  |
| 22. AOL Inc. common stock                                           |   | None         |   |   | Merged<br>(with line 40) | 06/30/15 | J |  |  |
| 23. Vanguard Windsor 2 Fund                                         | A | Int./Div.    | J | T |                          |          |   |  |  |
| 24. Bank of America Common Stock                                    | A | Dividend     | J | T |                          |          |   |  |  |
| 25. Becton Dickinson & Co. common stock                             | A | Int./Div.    | K | T |                          |          |   |  |  |
| 26. China Mobile Ltd                                                | A | Dividend     | J | T |                          |          |   |  |  |
| 27. Chevron common stock                                            | B | Dividend     | K | T |                          |          |   |  |  |
| 28. Cisco, Inc. common stock                                        |   | None         | J | T |                          |          |   |  |  |
| 29. Dow Chemical common stock                                       | A | Dividend     | J | T |                          |          |   |  |  |
| 30. Exxon Mobil Corp. common stock                                  | A | Dividend     | J | T |                          |          |   |  |  |
| 31. Honeywell International Common Stock                            | A | Dividend     | K | T |                          |          |   |  |  |
| 32. IBM Corp. common stock                                          | A | Dividend     | K | T |                          |          |   |  |  |
| 33. Intel Corp. common stock                                        | A | Dividend     | J | T |                          |          |   |  |  |
| 34. International Game Technology common stock                      |   | None         | 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                                              |                         |

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                 |   |              |   |   |  |  |  |  |  |
|-----------------------------------------------------------------|---|--------------|---|---|--|--|--|--|--|
| 35. Microsoft Corp. common Stock                                | A | Dividend     | L | T |  |  |  |  |  |
| 36. OGE Energy Corp.                                            | A | Int./Div.    | K | T |  |  |  |  |  |
| 37. Oracle Corp. common stock                                   | A | Dividend     | J | T |  |  |  |  |  |
| 38. Staples Inc. Common stock                                   | A | Dividend     | J | T |  |  |  |  |  |
| 39. Time Warner Cable Inc.                                      | A | Dividend     | J | T |  |  |  |  |  |
| 40. Time Warner Inc., common stock                              | A | Dividend     | J | T |  |  |  |  |  |
| 41. Trust #1                                                    |   | None         | O | W |  |  |  |  |  |
| 42. First Clearing LLC (X)                                      | E | Dividend     | K | T |  |  |  |  |  |
| 43. Apple Inc. (X)                                              | B | Dividend     | L | T |  |  |  |  |  |
| 44. Corning Inc. (X)                                            | A | Dividend     | K | T |  |  |  |  |  |
| 45. Prudential Financial Inc. (X)                               | A | Dividend     | K | T |  |  |  |  |  |
| 46. Qualcomm (X)                                                | A | Dividend     | J | T |  |  |  |  |  |
| 47. Invesco Floating Rate Mutual Fund (X)                       | C | Dividend     | M | T |  |  |  |  |  |
| 48. Prudential Jenn Value Fund C (Mutual Fund) (X)              | C | Distribution | L | T |  |  |  |  |  |
| 49. Prudential Short Term Corporate Bond Fund (Mutual Fund) (X) | A | Dividend     | L | T |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 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                                              |                         |

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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

Items in lines 43 to 49 reflect "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 2015 reporting period.

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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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544