

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) RAGGI, REENA	2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR	3. Date of Report 05/07/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES CIRCUIT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. COURTHOUSE 225 CADMAN PLAZA EAST BROOKLYN, NY 11201		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. TRUSTEE	ACADEMY OF THE HOLY ANGELS SCHOOL, DEMAREST, NEW JERSEY
2. TRUSTEE	WILLIAM NELSON CROMWELL FOUNDATION, NEW YORK, NEW YORK
3.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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. 2014	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	\$26,955.00
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.)*

DATE	SOURCE AND TYPE
1.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. NOTRE DAME LAW SCHOOL	03/26/2014-03/27/2014	NOTRE DAME, IN	SPEECH	TRAVEL, HOTEL AND MEALS
2. HARVARD LAW SCHOOL	04/02/2014-04/03/2014	CAMBRIDGE, MA	SPEECH	TRAVEL, HOTEL AND MEALS
3. DUKE UNIVERSITY SCHOOL OF LAW	04/08/2014-04/10/2014	DURHAM, NC	PANEL PRESENTATION AND MOOT COURT	TRAVEL, HOTEL AND MEALS
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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. CITIBANK PREFERRED MONEY MARKET ACCOUNT(MMP)-SAVINGS PLUS	A	Interest	L	T					
2. CITIBANK CHECKING ACCOUNT	A	Interest	N	T					
3. CITI NEW YORK TAX FREE RESERVE MMF (Y)									
4. CITI PERSONAL WEALTH MANAGEMENT A/C#C18-057734									
5. -CORPORATE BOND - GENERAL ELEC CAP CORP DTD-3/06/2008	C	Interest	M	T					
6. -NEW YORK CITY G/O SER I DD 04/01/04 F/C 8/1/04	D	Interest			Sold	08/01/14	L		
7. -NEW YORK N Y GENL OBLIG BDS-G-B/E DD 01/03/2008	C	Interest	L	T					
8. -CERTIFICATE OF DEPOSIT-CITIBANK (Y)									
9. -NEW YORK CITY G/O SER M DD 4/28/05 F/C 10/1/05 (Y)									
10. -NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	D	Interest	M	T					
11. - NY ST THRUWY AUTH ST PERS INCM TX REV BDS-B/E DD 9/10/08	D	Interest	M	T					
12. GREENWICH ST.EMPLOYEES FUND (Y)									
13. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA									
14. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	L	T					
15. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	L	T					
16. -COCA COLA ENTERPRISE INC NOTES-ZERO CPN CORPORATE BONDS	B	Interest	M	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 - \$500,000,000	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 \$5,000,000	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

Page 5 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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 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)

17. -BERKSHIRE HATHAWAY INC DTD 04/29/04 (Y) CORPORATE BONDS (Y)									
18. -CASH ACCOUNT-CITIBANK BANK REPOSIT PROGRAM	A	Interest	M	T					
19. MORGAN STANLEY SMITH BARNEY IRA ROLLOVER (Y) ACCOUNT									
20. -MORGAN STANLEY BANK N.A. (Y)									
21. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND (Y)									
22. -VANGUARD TOTAL BOND MARKET (Y)									
23. -CALVERT SHORT DURATION INC A MUTUAL FUNDS (Y)									
24. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS (Y)									
25. -PIMCO TOTAL RETURN A MUTUAL FUNDS (Y)									
26. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS (Y)									
27. -TEMPLETON GLOBAL BD FD A (Y)									
28. -TEMPLETON GLOBAL TOTAL RET A (Y)									
29. MORGAN STANLEY SMITH BARNEY BROKERAGE (Y) ACCOUNT									
30. -MORGAN STANLEY BANK N.A. (Y)									
31. -NEW YORK N Y CITY TRANS FIN AUTH BLDG AID REV MUNI BONDS (Y)									
32. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BOND (Y)									

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

Page 6 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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)

33. -NEVADA ST MUNI BD BK MUNI BOND (Y)									
34. -CALIFORNIA ST GENL OBLIG MUNI BONDS (Y)									
35. -NEW YORK N Y GENL OBLIG SER-O MUNI BONDS (Y)									
36. -NEW YORK ST URBAN DEV CORP EMPIRE ST DEV CORP SVC MUNIS (Y)									
37. -NEW YORK N Y GENL OBLIG SER D MUNI BONDS (Y)									
38. -LONG ISLAND PWR AUTH N Y ELEC SYS REV-A MUNI BONDS (Y)									
39. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BONDS (Y)									
40. -AMERICAN EXPRESS CREDIT CO CORPORATE BONDS (Y)									
41. -GOLDMAN SACHS GROUP INC CORPORATE BONDS (Y)									
42. -MORGAN STANLEY CORPORATE BONDS (Y)									
43. -WACHOVIA CORP CORPORATE BONDS (Y)									
44. -CALVERT SHORT DURATION INC C MUTUAL FUNDS (Y)									
45. -DRYDEN SH TRM CORP BD C MUTUAL FUNDS (Y)									
46. -VIRTUS MULTI-SECTOR S/T BD T MUTUAL FUNDS (Y)									
47. -WELLS FARGO SHT TRM MUNI BD C MUTUAL FUNDS (Y)									
48. -TRIBOROUGH BRDG & TUNL AUTH NY REVS SER-A (Y)									
49. -OPPENHEIMER LTD TERM NY MUNI C (Y)									

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 \$5,000,000	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

Page 7 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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)

50.	-NEW YORK CITY GEN OBLIG FISCAL SER-B SUBSER B-1 (Y)								
51.	-METROPOLITAN TRANS AUTH N Y TRANS REV SER-A (Y)								
52.	-NEW YORK N Y CITY MUN WTR FIN AUTH WTR & SWR SYS REV SER E (Y)								
53.	-CALVERT SHORT DURATION INC C (Y)								
54.	-MAINSTAY HIGH YIELD OPPORT (Y)								
55.	-OPPENHEIMER LTD TERM NY MUNI C (Y)								
56.	-PRUDENTIAL SHT TRM CORP BD C (Y)								
57.	-VIRTUS UNSIGHT SH INTM BD C (Y)								
58.	-VIRTUS MULTI SECT SHT TRM BD T (Y)								
59.	-WELLS FARGO ADV ST MUNI BD C (Y)								
60.	-GENERAL ELECTRIC CO (Y)								
61.	-PFIZER INC (Y)								
62.	-METROPOLITAN TRANS AUTH N Y TRANS REV SER-A (Y)								
63.	-NEW YORK STATE TWY AUTH REV SER-H (Y)								
64.	-MAINSTAY HI YLD CORP BOND C (Y)								
65.	-OPPENHEIMER LTD TERM NY MUNI C (Y)								
66.	-VIRTUS MULTI SECT SHT TRM BD T (Y)								

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 \$5,000,000	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

Page 8 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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)
67. -NEW YORK CITY TRANS FIN AUTH BLDG AID REV FISCAL S-1 (Y)									
68. -NEW YORK CITY GENL OBLIG SER-1 (Y)									
69. -NEW YORK STATE THRUWAY AUTHORITY GENERAL REVENUE SERIES-1 (Y)									
70. -NEW YORK CITY TRANS FIN AUTH FUTURE TAX SECD REV-F SUBSER (Y)									
71. MORGAN STANLEY TRADITIONAL INHERITED IRA (Y)									
72. CHARLES SCHWAB-CONTRIBUTORY IRA -HIGHTOWERS ADVISORS LLC									
73. -CASH ACCOUNT	A	Interest	J	T					
74. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
75. -VANGUARD BOND INDEX FUND	C	Dividend	L	T					
76. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
77. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T					
78. -PIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
79. -VIRTUS MILTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
80. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T					
81. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T					
82. -GUGGENHEIM EFT	B	Dividend	L	T	Buy	09/24/14	L		

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 \$5,000,000	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

Page 9 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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)

83. CHARLES SCHWAB - HIGHTOWER SECURITIES, LLC									
84. -PRIME FUND CAPITAL RESERVES MONEY MARKET	A	Dividend	M	T					
85. -GENERAL ELECTRIC CO	B	Dividend	K	T					
86. -PFIZER INC	B	Dividend	K	T					
87. -GOLDMAN SACH GRP INC MTN BE 6%-CORPORATE BOND	B	Interest			Sold	05/01/14	K		
88. -MORGAN STANLEY SR NT 6%-CORPORATE BOND	B	Interest			Sold	05/13/14	K		
89. -WACHOVIA CORP NEW SUB NT 5.25%-CORPORATE BOND	B	Interest			Sold	08/01/14	K		
90. -NEW YORK N Y BDS SER. 2005 D-MUNICIPAL BOND	B	Interest			Sold	11/03/14	K		
91. -NEW YORK N Y GO BDS SER. 2005 O-MUNICIPAL BOND	B	Interest	K	T					
92. NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	K	T					
93. -ALBANY N Y INDL DEV AGY CIVIC FAC REV-MUNICIPAL BOND	A	Interest	K	T					
94. -NEVADA ST MUNI BD BK MUNI BOND (Y)									
95. -CALIFORNIA ST GO BDS SER. 2007 5%-MUNICIPAL BOND	B	Interest	K	T					
96. -NEW YORK NY GO BDS. 2005 O-MUNICIPAL BOND	A	Interest	J	T					
97. -NEW YORK ST URBAN DEV CORP REV SERVICE-MUNICIPAL BOND	C	Interest	L	T					
98. -NEW YORK N Y GO BDS SER. 2005 D-MUNICIPAL BOND	A	Interest			Sold	11/03/14	K		
99. -METROPOLITAN TRANSN AUTH N Y REV FOR-MUNICIPAL BOND	B	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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)
100. -LONG ISLAND PWR AUTH N Y ELEC SYS REV-MUNICIPAL BOND	B	Interest	K	T					
101. -ALBANY N Y INDL DEV AGY CIVIC REV-MUNICIPAL BOND	B	Interest	K	T					
102. -AMERICAN EXPRESS CREDIT CO CORPORATE (Y) BONDS									
103. -NEW YORK N Y GO BDS SER. 2009 B-1-MUNICIPAL BOND	B	Interest	K	T					
104. -NEW YORK ST TWY AUTH GEN REV GEN REV BDS-MUNICIPAL BOND	C	Interest	M	T					
105. -NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	L	T					
106. -TRIBOROUGH BRDG & TUNL AUTH NY REVS SER-A (Y)									
107. -NEW YORK N Y GO BDS SER. FISCAL 2008 I-1-MUNICIPAL BOND	C	Interest	L	T					
108. -METROPOLITAN TRANSN AUTH N Y REV FOR-MUNICIPAL BONDS	B	Interest	K	T					
109. -NEW YORK N Y CITY MUN WTR FIN AUTH WTR & SWR SYS REV SER E (Y)									
110. -NEW YORK ST TWY AUTH GEN REV GEN REV BDS-MUNICIPAL BOND	B	Interest	K	T					
111. -NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	K	T					
112. -CALVERT SHRT DURATIO INCOME CL C-MUTUAL FUNDS	A	Dividend	L	T					
113. -MAINSTAY HIGH YIELD CORP CLASS C-MUTUAL FUNDS	C	Dividend	L	T					
114. -MAINSTAY HIGH YIELD OPPORTUNITIES CL C-MUTUAL FUNDS	B	Dividend	K	T					
115. -OPPENHEIMER ROCHESTER LTD TERM NY MUNI C-MUTUAL FUNDS	C	Dividend	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 = \$250,001 - \$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

Page 11 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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 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)
116. -PRUDENTIAL SHORT TERM CORP BOND CL C-MUTUAL FUNDS	B	Dividend	L	T					
117. -VIRTUS LOW DURATION INCOME FUND CLASS C-MUTUAL FUNDS	A	Dividend	K	T					
118. -VIRTUS MULTI SECTOR SHORT TERM BOND CL T-MUTUAL FUNDS	C	Dividend	M	T					
119. -WELLS FARGO SHORT TERM MUNI BOND FD C-MUTUAL FUNDS	A	Dividend	L	T					
120. -METROPOLITAN TRANSN AUTH REV FOR 4.00% 11/15/2026	B	Interest	K	T	Buy	08/01/14	K		
121. -NEW YORK NY GO BDS SER B 4.00% 08/01/2022	B	Interest	K	T	Buy	08/01/14	K		
122. - NEW YORK NY CITY MUN WTR FIN AUTH WTR 4.125% 06/15/2024	B	Interest	K	T	Buy	08/01/14	K		
123. -NEW YORK ST TWY AUTH ST PERS INCOME TAX 3.125% 03/15/2025	B	Interest	K	T	Buy	08/01/14	K		
124. CHARLES SCHWAB-INHERITED IRA									
125. -FIDELITY PURITAN FUND (X)	A	Dividend	K	T					
126. HUDSON CITY SAVINGS BANK- CERTIFICATE OF DEPOSIT (X)	B	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 \$5,000,000	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

Page 12 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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

- 1)PART V11, PAGE 5, LINES#19-28: THIS ACCOUNT WAS CLOSED ON 01/31/2013 AND ALL OF THE HOLDINGS WERE TRANSFEREED TO A NEW INVESTMENT BROKERAGE ACCOUNT. LINES #75-84. THE NEW BROKERAGE ACCOUNT IS CHARLES SCHWAB.
- 2)PART V11, PAGES, LINES#71-81: THIS ACCOUNT WAS OPENED ON 01/31/2013 AND ALL OF THE ASSETS FROM THE MORGAN STANLEY SMITH BARNEY IRA ROLLOVER ACCOUNT, LINE#19 WERE TRANSFERRED TO THIS ACCOUNT.
- 3)PART V11, PAGES 5-8, LINES#29-70: THIS ACCOUNT WAS CLOSED ON 01/31/2013 AND ALL OF THE HOLDINGS WERE TRANSFEREED TO A NEW INVESTMENT BROKERAGE ACCOUNT. LINES #85-126. THE NEW BROKERAGE ACCOUNT IS CHARLES SCHWAB.
- 4)PART V11, PAGES 8-11, LINES#82-118: THIS IS THE NEW BROKERAGE ACCOUNT THAT WAS OPENED ON 01/31/2013. ALL ASSETS FROM THE MORGAN STANLEY BROKERAGE ACCOUNT WERE TRANSFERRED INTO THIS ACCOUNT.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

RAGGI, REENA

Date of Report

05/07/2015

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/ REENA RAGGI

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