

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 12/18/2018
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 01/01/2017 to 12/31/2017
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

	<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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	\$27,495.00
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. 2017	SEYFARTH SHAW LLP LAW OFFICE W-2
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. HARVARD LAW SCHOOL	03/20/2017-03/22/2017	CAMBRIDGE, MA	MOOT COURT	TRAVEL, LODGING AND MEALS
2. UNIVERSITY NORTH CAROLINA LAW SCHOOL	03/29/2017-04/01/2017	RALEIGH-DURHAM, NC	LECTURE	TRAVEL, LODGING AND MEALS
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.)*

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.		

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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. CITIBANK PREFERRED MONEY MARKET ACCOUNT(MMP)-SAVINGS PLUS	A	Interest	L	T					
2. CITIBANK CHECKING ACCOUNT	A	Interest	N	T					
3. CITI PERSONAL WEALTH MANAGEMENT A/C#C18-057734									
4. -CORPORATE BOND - GENERAL ELEC CAP CORP DTD-3/06/2008	B	Interest		T	Redeemed	03/15/17	L		
5. -NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	D	Interest	M	T					
6. - NY ST THRUWY AUTH ST PERS INCM TX REV BDS-B/E DD 9/10/08	D	Interest	M	T					
7. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA A/ C#C18-057742									
8. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
9. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
10. -COCA COLA ENTERPRISE INC NOTES-ZERO CPN CORPORATE BONDS	B	Interest	M	T					
11. -CASH ACCOUNT-CITIBANK BANK DEPOSIT PROGRAM	A	Interest	N	T					
12. CHARLES SCHWAB-CONTRIBUTORY IRA -HIGHTOWERS ADVISORS LLC									
13. -CASH ACCOUNT	A	Interest	J	T					
14. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
15. -VANGUARD BOND INDEX FUND	C	Dividend	L	T					
16. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	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 ~\$250,000,001 - \$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	

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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. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T					
18. -PIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
19. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
20. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T					
21. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T					
22. -GUGGENHEIM S&P 500 EQUAL EFT	B	Dividend	L	T					
23. CHARLES SCHWAB - HIGHTOWER SECURITIES, LLC									
24. -PRIME FUND CAPITAL RESERVES MONEY MARKET-FIDELITY GOVT MMKT CAPITAL	A	Dividend	N	T					
25. -GENERAL ELECTRIC CO	B	Dividend	K	T					
26. -PFIZER INC	B	Dividend	K	T					
27. NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	K	T					
28. -ALBANY N Y INDL DEV AGY CIVIC FAC REV-MUNICIPAL BOND	B	Interest	K	T					
29. -CALIFORNIA ST GO BDS SER. 2007 5%-MUNICIPAL BOND	B	Interest		T	Redeemed	06/01/17	K		
30. -NEW YORK ST URBAN DEV CORP REV SERVICE-MUNICIPAL BOND	C	Interest	L	T					
31. -METROPOLITAN TRANSN AUTH N Y REV FOR-MUNICIPAL BOND	B	Interest	L	T					
32. -ALBANY N Y INDL DEV AGY CIVIC REV-MUNICIPAL BOND	B	Interest	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 = \$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	

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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 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. -NEW YORK N Y GO BDS SER. 2009 B-1-MUNICIPAL BOND	B	Interest	K	T					
34. -NEW YORK ST TWY AUTH GEN REV GEN REV BDS-MUNICIPAL BOND	C	Interest	M	T					
35. -NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	L	T					
36. -NEW YORK N Y GO BDS SER. FISCAL 2008 I-1-MUNICIPAL BOND	C	Interest	L	T					
37. -METROPOLITAN TRANSN AUTH N Y REV FOR-MUNICIPAL BONDS	B	Interest	K	T					
38. -NEW YORK ST TWY AUTH GEN REV GEN REV BDS-MUNICIPAL BOND	B	Interest	K	T					
39. -NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	K	T					
40. -CALVERT SHRT DURATIO INCOME CL C-MUTUAL FUNDS	A	Dividend	L	T					
41. -MAINSTAY HIGH YIELD CORP CLASS C-MUTUAL FUNDS	C	Dividend	L	T					
42. -MAINSTAY HIGH YIELD OPPORTUNITIES CL C-MUTUAL FUNDS	B	Dividend	K	T					
43. -OPPENHEIMER ROCHESTER LTD TERM NY MUNI C-MUTUAL FUNDS	C	Dividend	L	T					
44. -PRUDENTIAL SHORT TERM CORP BOND CL C-MUTUAL FUNDS	B	Dividend	L	T					
45. -VIRTUS NEWFLEET LOW DURATION INCOME FUND CLASS C-MUTUAL FUNDS	A	Dividend	K	T					
46. -VIRTUS NEWFLEET MULTI SECTOR SHORT TERM BOND CL T-MUTUAL FUNDS	C	Dividend	M	T					
47. -WELLS FARGO SHORT TERM MUNI BOND FD C-MUTUAL FUNDS	A	Dividend	L	T					
48. -METROPOLITAN TRANSN AUTH REV FOR 4.00% 11/15/2026	B	Interest	K	T					

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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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49. -NEW YORK NY GO BDS SER B 4.00% 08/01/2022	B	Interest	K	T					
50. - NEW YORK NY CITY MUN WTR FIN AUTH WTR 4.125% 06/15/2024	B	Interest	K	T					
51. -NEW YORK ST TWY AUTH ST PERS INCOME TAX 3.125% 03/15/2025	B	Interest	K	T					
52. -NEW YORK ST DORM AUTH REVS NON ST 07/01/2028	B	Interest	K	T	Buy	04/25/17			
53. -ALBANY CITY NY ARPT AUTH ARPT REV REV 12/15/2028	B	Interest	K	T	Buy	04/25/17			
54. -MONROE CNTY N Y PUB IMPT SERIAL BDS 06/01/2029	B	Interest	K	T	Buy	04/25/17			
55. CHARLES SCHWAB ONE ACCOUNT(X)	A	Interest	J	T					
56. CHARLES SCHWAB-INHERITED IRA									
57. -FIDELITY PURITAN FUND	A	Dividend	K	T	Redeemed (part)	12/21/17	J	B	
58. MANUFACTURERS AND TRADERS TRUST COMPANY-CERTIFICATE OF DEPOSIT	B	Interest	L	T					
59. UBS FINANCIAL SERVICES INC IRA ROLLOVER A/C# NE 76439 JW (X)									
60. -UBS BANK USA DEP ACCT (X)	A	Interest	K	T					
61. -CONSUMERS STAPLES SELECT SECTOR SPDR FUND ETF (X)	A	Int./Div.	K	T	Redeemed (part)	03/22/17	J	A	
62. -ENERGY SELECT SECTOR SPDR FUND ETF (X)	A	Int./Div.	K	T	Redeemed (part)	09/11/17	J	A	
63. -FINANCIAL SELECT SECTOR SPDR FUND ETF (X)	A	Int./Div.	L	T	Redeemed (part)	06/16/17	J	A	
64. -ISHARES U.S. TECHNOLOGY ETF (X)	A	Int./Div.	L	T	Redeemed (part)	03/22/17	J	B	

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65. -ISHARES MSCI EMERGING MARKETS ETF (X)	A	Int./Div.	J	T	Redeemed (part)	06/14/17	J	A	
66. -ISHARES CORE S&P TOTAL US STOCK MKT ETF (X)	A	Int./Div.	J	T	Redeemed (part)	06/14/17	J	B	
67. -ISHARES CURRENCY HEDGED MSCI EUROZONE ETF (X)	A	Int./Div.	K	T	Redeemed (part)	06/29/17	J	A	
68. -POWERSHARES S&P SMALL CAP INFORMATION TECHNOLOGY (PORTFOLIO ETF (X)	A	Int./Div.	K	T	Redeemed (part)	03/22/17	J	C	
69. -REAL ESTATE SELECT SECT SPDR ETF (X)	A	Int./Div.	J	T	Redeemed (part)	06/14/17	J	A	
70. -SPDR S&P REGL BANKING ETF (X)	A	Int./Div.	J	T	Redeemed (part)	06/14/17	J	B	
71. -SPDR S&P TELECOM ETF (X)	A	Int./Div.	J	T					
72. - SPDR S&P HEALTH CARE EQUIPMENT ETF (X)	A	Int./Div.	J	T	Redeemed (part)	06/14/17	J	A	
73. - SPDR S&P HEALTH CARE SERVICES ETF (X)	A	Int./Div.	J	T	Redeemed (part)	06/14/17	J	A	
74. -UTILITIES SECTOR SPDR FUND ETF (X)	A	Int./Div.	J	T	Redeemed (part)	06/16/17	J	A	
75. -VANECK VECTORS OIL SERVICE ETF (X)	A	Int./Div.	J	T					
76. -VANGUARD CONSUMER DISCRETIONARY ETF (X)	A	Int./Div.	L	T					
77. -VANGUARD HEALTH CARE ETF (X)	A	Int./Div.	L	T	Redeemed (part)	06/16/17	J		
78. -VANGUARD MATERIALS ETF (X)	A	Int./Div.	K	T					
79. -VANGUARD INDUSTRIALS ETF (X)	A	Int./Div.	K	T	Redeemed (part)	06/16/17	J		
80. -ASTRAZENECIA PLC SPON ADR (X)	A	Int./Div.			Sold	04/25/17	J	A	

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81. -BP PLC SPON ADR (X)	A	Int./Div.			Sold	06/14/17	J	A	
82. -CISCO SYSTEMS INC (X)	A	Int./Div.			Sold	06/14/17	J	A	
83. - CITIGROUP INC (X)	A	Int./Div.			Sold	02/09/17	J	A	
84. - DIAGEO PLC NEW GB SPON ADR (X)	A	Int./Div.			Sold	03/02/17	J	A	
85. -DUKE ENERGY CORP NEW (X)	A	Int./Div.			Sold	06/14/17	J	A	
86. -FORTINET INC (X)	A	Int./Div.			Sold	03/02/17	J	A	
87. -GILEAD SCIENCES INC (X)	A	Int./Div.			Sold	06/14/17	J		
88. -GLAXO SMITHKLINE PLC ADR (X)	A	Int./Div.			Sold	03/31/17	J		
89. -GOLDMAN SACHS GROUP INC (X)	A	Int./Div.			Sold	06/14/17	J		
90. -INTEL CORP (X)	A	Int./Div.			Sold	06/14/17	J		
91. -MOSAIC CO (X)	A	Int./Div.			Sold	06/14/17	J		
92. -NOVO NORDISK ADR DENMARK ADR (X)	A	Int./Div.			Sold	06/14/17	J	A	
93. -PURE STORAGE INC CL A (X)	A	Int./Div.			Sold	06/14/17	J	B	
94. -SPDR GOLD SHARES ETF (X)	A	Int./Div.			Sold	06/14/17	J	A	
95. -TARGET CORP (X)	A	Int./Div.			Sold	06/14/17	J		
96. -VIACOM INC NEW CL B (X)	A	Int./Div.			Sold	06/14/17	J		
97. -VODAFONE GROUP PLC SPON ADR (X)	A	Int./Div.			Sold	06/14/17	J	A	

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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	

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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)
98. -ALPHABET INC CL C (X)	A	Int./Div.			Sold	06/14/17	J	C	
99. -CISCO SYSTEMS INC (X)	A	Int./Div.			Sold	06/14/17	J	B	
100. -CITIGROUP INC (X)	A	Int./Div.			Sold	02/09/17	J	A	
101. -FORTINET INC (X)	A	Int./Div.			Sold	03/02/17	J	B	
102. -GILEAD SCIENCES INC (X)	A	Int./Div.			Sold	06/14/17	J		
103. -SILVER WHEATON CORP (X)	A	Int./Div.			Sold	03/15/17	J	B	
104. UBS FINANCIAL SERVICES INC IRA ROLLOVER A/C #NE 76377 JW (X)									
105. -UBS BANK USA DEP ACCT (X)	A	Interest	J	T					
106. -ESCROW LB PAR VALUE (X)	A	Int./Div.	J	T					
107. -MAN-AHL DIVERSIFIED I CLASS B (X)	A	Int./Div.	K	T					
108. UBS FINANCIAL SERVICES INC TRADITIONAL IRA ACCOUNT #NE 01868 JW (X)									
109. -UBS BANK USA DEP ACCT (X)	A	Interest	M	T					
110. -ISHARES CORE S&P SMALL-CAP ETF (X)	A	Int./Div.	K	T	Redeemed (part)	09/22/17	K	D	
111. -ISHARES RUSSELL 2000 VALUE ETF (X)	A	Int./Div.	J	T	Redeemed (part)	09/22/17	J	C	
112. -ISHARES RUSSELL 2000 GROWTH ETF (X)	A	Int./Div.	J	T	Redeemed (part)	09/22/17	J	C	
113. -ISHARES GLOBAL ENERGY ETF (X)	A	Int./Div.	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	
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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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)

114. -ISHARES MSCI EMERGING MARKETS ETF (X)	A	Int./Div.	J	T					
115. -ISHARES MSCI ACWI EX US ETF (X)	A	Int./Div.	J	T					
116. -ISHARES CORE MSCI EAFE ETF (X)	B	Int./Div.	L	T					
117. -ISHARES CORE MSCI EMERGING MARKETS ETF (X)	B	Int./Div.	L	T					
118. -VANGUARD ENERGY ETF (X)	A	Int./Div.	J	T					
119. -VANGUARD FTSE ALL WORLD EX-US ETF (X)	B	Int./Div.	L	T					
120. -WISDOMTREE INTL EQUITY FUND ETF (X)	B	Int./Div.	L	T					
121. -THE GABELLI GOLD FUND INC CLASS I (X)	A	Int./Div.	J	T					
122. -VAN ECK GLOBAL HARD ASSETS CL Y (X)	A	Int./Div.	J	T					
123. -DOUBLELINE INCOME SOLUTIONS FD (X)	C	Int./Div.	L	T					
124. -ISHARES TIPS BOND ETF (X)	A	Int./Div.	K	T					
125. -ISHARES 1-3 YEAR CREDIT BOND (X)	A	Int./Div.	K	T					
126. -ISHARES IBONDS DEC 2018 TERM CORPORATE ETF (X)	B	Int./Div.	L	T					
127. -ISHARES IBONDS DEC 2020 TERM CORPORATE ETF (X)	B	Int./Div.	L	T					
128. -ISHARES IBONDS DEC 2019 TERM CORPORATE ETS (X)	B	Int./Div.	L	T					
129. -ISHARES IBONDS DEC 2021 TERM CORPORATE ETF (X)	A	Int./Div.	K	T					
130. -DOUBLE LINE TOTAL RETURN FUND INSTL (X)	A	Int./Div.	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	
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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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)
131. -DREYFUS INTERNATIONAL BOND FUND CL 1 (X)	B	Int./Div.	K	T					
132. -DREYFUS OPPORTUNISTIC FIXED INCOME FUND CLASS 1 (X)	A	Int./Div.	K	T					
133. -JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS 1 (X)	B	Int./Div.	L	T					
134. -LOOMIS SAYLES STRATEGIC INCOME FUND CLASS Y (X)	A	Int./Div.	K	T					
135. -LORD ABBETT BOND DEBENTURE FUND CLASS F (X)	B	Int./Div.	K	T					
136. -METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS 1 (X)	A	Int./Div.	K	T					
137. -PIMCO TOTAL RETURN FUND CLASS P (X)	B	Int./Div.	K	T	Redeemed (part)	04/27/17	K		
138. -PIONEER STRATEGIC INCOME Y (X)	A	Int./Div.	J	T					
139. -VOYA INTERMEDIATE BOND FUND CLASS 1 (X)	B	Int./Div.	L	T					
140. -ISHARES BONDS DEC 2017 TERM CORPORATE ETF (X)	A	Int./Div.			Sold	12/21/17	L		
141. -FIRST EAGLE OVERSEAS FUND CLASS 1 (X)	A	Int./Div.			Sold	04/27/17	J	A	
142. -GOLDMAN SACHS STRATEGIC INCOME CL 1 (X)	A	Int./Div.			Sold	04/27/17	J	A	
143. -JPMORGAN INTERNATIONAL RESEARCH ENHANCED EQUITY FUND CLASS 1 (X)	A	Int./Div.			Sold	04/27/17	J	A	
144. -OPPENHEIMER DEVELOPING MARKETS CLASS Y (X)	A	Int./Div.			Sold	04/27/17	J	A	
145. -TCW EMERGING MARKETS LOCAL CURRENCY INCOME FUND 1 (X)	A	Int./Div.			Sold	04/27/17	J	A	
146. -TEMPLETON GLOBAL BOND ADV (X)	A	Int./Div.			Sold	04/27/17	J	A	

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	

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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)
147. -WISDOMTREE US SMALLCAP EARNINGS FUND ETF (X)	A	Int./Div.			Sold	09/22/17	K	A	
148. -DREYFUS OPPORTUNISTIC SMALL CAP FUND (X)	A	Int./Div.			Sold	04/27/17	L	D	
149. -FIRST EAGLE OVERSEAS FUND CLASS 1 (X)	A	Int./Div.			Sold	04/27/17	J	A	
150. -GOLDMAN SACHS STRATEGIC INCOME CL 1 (X)	A	Int./Div.			Sold	04/27/17	K		
151. -ISHARES 1-3 YR TREAS BOND ETF (X)	A	Int./Div.			Sold	02/09/17	J	A	
152. -JPMORGAN INTERNATIONAL RESEARCH ENHANCED EQUITY FUND CLASS 1 (X)	A	Int./Div.			Sold	04/27/17	K	B	
153. -OPPENHEIMER DEVELOPING MARKETS CLASS Y (X)	A	Int./Div.			Sold	04/27/17	K	C	
154. -TCW EMERGING MARKETS LOCAL CURRENCY INCOME FUND 1 (X)	A	Int./Div.			Sold	04/27/17	K		
155. -TEMPLETON GLOBAL BOND ADV (X)	A	Int./Div.			Sold	04/27/17	K		
156. -WISDOMTREE EMERGING MARKETS HIGH DIVIDEND FUND ETF (X)	A	Int./Div.			Sold	09/22/17	J		
157. -WISDOMTREE EUROPE HEDGED EQUITY FUND ETF (X)	A	Int./Div.			Sold	09/22/17	J		
158. MERRILL LYNCH-RAMIREZ WEALTH MANAGEMENT (X)									
159. -CASH/MONEY ACCOUNTS - BANK OF AMERICA (X)	A	Interest	J	T					
160. -GNA P001381M (X)	A	Interest	J	T					
161. -GNM P0014893M (X)	A	Interest	J	T					
162. -BLACKROCK EQUITY DIVIDEND (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	

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	

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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)
163. -DELTWARE SMALL CAP CORE (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	
164. -EDGEWOOD GROWTH FUND CL (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	
165. -FIDELITY ADV MUNI INCOME FD CL 1 (X)	A	Int./Div.	K	T	Redeemed (part)	12/19/17	J		
166. -ISHARES RUSSELL 1000 GROWTH (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	
167. -ISHARES RUSSELL 1000 VALUE (X)	A	Int./Div.	K	T	Redeemed (part)	12/19/17	J	A	
168. -ISHARES TR CORE MSCI EAF ETF (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	
169. -MFS MUNI INCOME FD CL 1 (X)	A	Int./Div.	K	T	Redeemed (part)	12/19/17	J		
170. -MFS VALUE FD CL 1 (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	
171. -OPPENHEIMER INTERNATIONAL GROWTH FC CL Y (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	
172. -PIONEER AMT FREE MUNICIPAL FUND CL Y (X)	A	Int./Div.	K	T	Redeemed (part)	12/19/17	J		
173. -SPDR NUVEEN BLMBERG BRCL Y SHT (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J		
174. -T ROWE PRICE EMERGING MARKETS STOCK FD (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	
175. -THE OAKMARK INTL FUND INV CL (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	
176. -VANECK VECTORS HIGH YIELD MUNI (X)	A	Int./Div.	J	T	Redeemed (part)	12/19/17	J	A	
177. -LAZARD EMERGING MKTS EQUITY PTFL INSTL CLASS (X)	A	Int./Div.			Sold	09/29/17	J	A	
178. -CLEARBRIDGE LARGE CAP GROWTH FUND CL 1 (X)	A	Int./Div.			Sold	09/29/17	J	A	
179. -CLEARBRIDGE LARGE CAP VALUE FUND 1 (X)	A	Int./Div.			Sold	08/18/17	J	A	

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	

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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)
180. -FEDERAL HOME LOAN BANK BONDS D120 (X)	A	Int./Div.			Sold	08/15/17	K	B	
181. -NEW YORK N Y I BUILD AMER BDS SER D (X)	A	Int./Div.			Sold	08/15/17	K	B	
182. -NY ST MBB AGY RCVRY ACT SER B-2 AGM (X)	A	Int./Div.			Sold	08/15/17	K	B	
183. -BLACKROCK MUNIYIELD QTLY FD INC (X)	A	Int./Div.			Sold	08/18/17	J	A	
184. -AT&T INC (X)	A	Int./Div.			Sold	08/16/17	J	A	
185. -COMCAST CORP NEW CL A (X)	A	Int./Div.			Sold	08/16/17	L	E	
186. -CENTURYLINK INC SHS (X)	A	Int./Div.			Sold	08/16/17	J	A	
187. -NCR CORP NEW (X)	A	Int./Div.			Sold	08/16/17	J	A	
188. -TERADATA CORP DEL (X)	A	Int./Div.			Sold	08/16/17	J	B	
189. -CLEARBRIDGE LARGE CAP VALUE FUND I (X)	A	Int./Div.			Sold	08/18/17	J	A	

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	

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

PART VII, LINES 158 - 190 REPRESENTS A 1/3 OWNERSHIP IN ACCOUNT.

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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/ 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