

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 05/07/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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	BROOKLYN LAW SCHOOL, BROOKLYN, NEW YORK
2. COOP BOARD MEMBER	PIERREPONT STREET TENANTS ASSOCIATION, [REDACTED]
3. TRUSTEE	WILLIAM NELSON CROMWELL FOUNDATION, NEW YORK, NEW YORK
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. 2011	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. DUKE LAW SCHOOL	02/21/2011-02/22/2011	RALEIGH/DURHAM, NC	MOOT COURT	AIRFARE, HOTEL AND MEAL
2. THE UNIVERSITY OF TEXAS SCHOOL OF LAW	03/31/2011-04/02/2011	AUSTIN, TX	PROGRAM ON CLERKSHIPS	AIRFARE, HOTEL AND MEALS
3. NEW YORK COUNCIL OF DEFENSE LAWYERS	09/23/2011-09/24/2011	RYE, NY	BENCH AND BAR CONFERENCE	TRAVEL, HOTEL AND MEALS
4. GEORGE WASHINGTON LAW SCHOOL	11/03/2011-11/04/2011	WASHINGTON, DC	PROGRAM TO COMMEMORATE FARRAND'S PUBLICATION OF NOTES ON CONSTITUTIONAL CONVENTION	TRAVEL, HOTEL AND MEALS

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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 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)
1. CITIBANK PREFERRED MONEY MARKET ACCOUNT(MMP)	A	Interest	L	T					
2. CITIBANK CHECKING ACCOUNT	A	Interest	L	T					
3. CITI NEW YORK TAX FREE RESERVE MMF - R	A	Interest	M	T					
4. CITI PERSONAL WEALTH MANAGEMENT									
5. -U.S. TREASURY NOTES SER R 2011 DTD 01/02/2007	A	Interest			Matured	12/31/11	N		
6. -NEW YORK ST URBAN DEV CORP REV RFDG-FSA BK/ENT DTD 1/1/94	A	Interest			Matured	01/01/11	M		
7. -CORPORATE BOND - GENERAL ELEC CAP CORP DTD-3/06/2008	C	Interest	L	T					
8. -NEW YORK CITY G/O SER I DD 04/01/04 F/C 8/1/04	C	Interest	M	T					
9. -NEW YORK N Y GENL OBLIG BDS-G-B/E DD 01/03/2008	C	Interest	L	T					
10. -CERTIFICATE OF DEPOSIT	A	None							
11. -NEW YORK CITY G/O SER M DD 4/28/05 F/C 10/1/05	C	Interest	M	T					
12. -NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	C	Interest	M	T					
13. - NY ST THRUWY AUTH ST PERS INCM TX REV BDS-B/E DD 9/10/08	D	Interest	M	T					
14. GREENWICH ST.EMPLOYEES FUND		None	J	U					
15. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA									
16. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
17. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	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 = \$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)

18. -COCA COLA ENETRPRISE INC NOTES-ZERO CPN CORPORATE BONDS	D	Interest	M	T					
19. -BERKSHIRE HATHAWAY INC DTD 04/29/04 CORPORATE BONDS	D	Interest	M	T					
20. -CHECKING ACCOUNT	A	Interest	L	T					
21. MORGAN STANLEY SMITH BARNEY IRA ROLLOVER ACCOUNT									
22. -MORGAN STANLEY BANK N.A.	A	Interest	K	T					
23. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
24. -VANGUARD TOTAL BOND MARKET	C	Dividend	L	T					
25. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
26. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T					
27. -PRIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
28. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
29. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T					
30. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T					
31. MORGAN STANLEY SMITH BARNEY BROKERAGE ACCOUNT									
32. -MORGAN STANLEY BANK N.A.	A	Interest	K	T					
33. -NEW YORK N Y CITY TRANS FIN AUTH BLDG AID REV MUNI BONDS	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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34. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BOND	B	Interest	K	T					
35. -NEVADA ST MUNI BD BK MUNI BOND	B	Interest	K	T					
36. -CALIFORNIA ST GENL OBLIG MUNI BONDS	B	Interest	K	T					
37. -NEW YORK N T GENL OBLIG SER-O MUNI BONDS	B	Interest	L	T					
38. -NEW YORK ST URBAN DEV CORP EMP IRE ST DEV CORP SVC MUNIS	B	Interest	L	T					
39. -NEW YORK N Y GENL OBLIG SER D MUNI BONDS	B	Interest	L	T					
40. -LONG ISLAND PWR AUTH N Y ELEC SYS REV-A MUNI BONDS	B	Interest	K	T					
41. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BONDS	B	Interest	K	T					
42. -AMERICAN EXPRESS CREDIT CO CORPORATE BONDS	B	Interest	K	T					
43. -GOLDMAN SACHS GROUP INC CORPORATE BONDS	B	Interest	K	T					
44. -MORGAN STANLEY CORPORATE BONDS	B	Interest	K	T					
45. -WACHOVIA CORP CORPORATE BONDS	B	Interest	K	T					
46. -CALVERT SHORT DURATION INC C MUTUAL FUNDS	B	Dividend	K	T					
47. -DRYDEN SH TRM CORP BD C MUTUAL FUNDS	B	Dividend	K	T					
48. -VIRTUS MULTI-SECTOR S/T BD T MUTUAL FUNDS	B	Dividend	K	T					
49. -WELLS FARGO SHT TRM MUNI BD C MUTUAL FUNDS	B	Dividend	L	T					
50. -TRIBOROUGH BRDG & TUNL AUTH NY REVS SER-A	B	Interest	K	T					

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51. -OPPENHEIMER LTD TERM NY MUNI C	B	Interest	K	T					
52. -NEW YORK CITY GEN OBLIG FISCAL SER-B SUBSER B-1	A	Interest	K	T	Buy	05/06/11	K		
53. -METROPOLITAN TRANS AUTH N Y TRANS REV SER-A	A	Interest	K	T	Buy	11/28/11	K		
54. -NEW YORK N Y CITY MUN WTR FIN AUTH WTR & SWR SYS REV SER E	A	Interest	K	T	Buy	09/22/11	K		
55. -CALVERT SHORT DURATION INC C	A	Interest	K	T	Buy	05/06/11	K		
56. -MAINSTAY HIGH YIELD OPPORT	A	Interest	K	T	Buy	05/06/11	K		
57. -OPPENHEIMER LTD TERM NY MUNI C	A	Interest	K	T	Buy	05/06/11	K		
58. -PRUDENTIAL SHT TRM CORP BD C	A	Interest	K	T	Buy	05/06/11	K		
59. -VIRTUS UNSIGHT SH INTM BD C	A	Interest	K	T	Buy	08/10/11	K		
60. -VIRTUS MULTI SECT SHT TRM BD T	A	Interest	K	T	Buy	05/06/11	K		
61. -WELLS FARGO ADV ST MUNI BD C	A	Interest	K	T	Buy	05/06/11	K		
62. -VIRTUS SENIOR FLOATING RATE C	A	Interest			Buy	05/06/11	J		
63. -VIRTUS SENIOR FLOATING RATE C	A	Int./Div.			Sold	08/10/11	J		
64. FIDELITY INVESTMENTS-INHERITED IRA	A	Interest	J	T	Open	01/01/11	K		

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

- 1)PART V11, PAGE 4, LINE #4: THE NAME OF THE ACCOUNT WAS CHANGED TO CITI PERSONAL WEALTH MANAGEMENT.
- 2)PART V11, PAGE 7, LINE #64: THIS ACCOUNT WAS AN INHERITATED IRA FROM THE ESTATE [REDACTED]

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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