

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/07/2019
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 01/01/2018 to 12/31/2018
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. 2018	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	\$27,765.00
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. 2018	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.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

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									
4. -NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	D	Interest	M	T	Redeemed	03/15/18	M		
5. - NY ST THRUWY AUTH ST PERS INCM TX REV BDS-B/E DD 9/10/08	D	Interest	M	T	Redeemed	09/17/18	M		
6. -BARCLAYS BK DEL RETAIL CTF DEP 3A2 2.700% 12/19/19	A	Interest	L	T	Buy	12/18/18	L		
7. -BARCLAYS BK DEL RETAIL CTF DEP 3A2 3.050% 12/21/20	A	Interest	L	T	Buy	12/18/18	L		
8. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA									
9. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T	Redeemed	05/01/18	M		
10. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T	Redeemed	05/01/18	M		
11. -COCA COLA ENTERPRISE INC NOTES-ZERO CPN CORPORATE BONDS	B	Interest	M	T					
12. -CASH ACCOUNT-CITIBANK BANK DEPOSIT PROGRAM	A	Interest	O	T					
13. CHARLES SCHWAB-CONTRIBUTORY IRA -HIGHTOWERS ADVISORS LLC									
14. -CASH ACCOUNT	A	Interest	K	T					
15. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
16. -VANGUARD BOND INDEX FUND	C	Dividend	L	T					

1 Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000	C = \$2,501 - \$5,000 G = \$100,001 - \$1,000,000	D = \$5,001 - \$15,000 H1 = \$1,000,001 - \$5,000,000	E = \$15,001 - \$50,000 H2 = More than \$5,000,000
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	

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17. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
18. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T					
19. -PIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
20. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
21. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T					
22. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T					
23. -GUGGENHEIM S&P 500 EQUAL EFT	B	Dividend	L	T					
24. CHARLES SCHWAB - HIGHTOWER SECURITIES, LLC									
25. -PRIME FUND CAPITAL RESERVES MONEY MARKET-FIDELITY GOVT MMKT CAPITAL	A	Dividend	N	T					
26. -GENERAL ELECTRIC CO	A	Dividend	J	T					
27. -PFIZER INC	B	Dividend	K	T					
28. NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	K	T	Redeemed	04/23/18	K		
29. -ALBANY N Y INDL DEV AGY CIVIC FAC REV-MUNICIPAL BOND	B	Interest	K	T					
30. -NEW YORK ST URBAN DEV CORP REV SERVICE-MUNICIPAL BOND	C	Interest	L	T	Redeemed	08/20/18	L		
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	
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	(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	Redeemed	09/04/18	K		
34. -NEW YORK ST TWY AUTH GEN REV GEN REV BDS-MUNICIPAL BOND	C	Interest	M	T	Redeemed	04/09/18	M		
35. -NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	L	T	Redeemed	04/23/18	L		
36. -NEW YORK N Y GO BDS SER. FISCAL 2008 I-1-MUNICIPAL BOND	C	Interest	L	T	Redeemed	02/01/18	L		
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					

1 Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
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(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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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					
53. -ALBANY CITY NY ARPT AUTH ARPT REV REV 12/15/2028	B	Interest	K	T					
54. -MONROE CNTY N Y PUB IMPT SERIAL BDS 06/01/2029	B	Interest	K	T					
55. -HUDSON YDS INFRASTRUCTURE CORP 5.00% 02/15/2037	A	Interest	L	T	Buy	03/27/18	L		
56. -METROPOLITAN TRANSN AUTH NY 11/15/2030	A	Interest	K	T	Buy	03/27/18	K		
57. -METROPOLITAN AUTH NY REV REF BDS 4. % 11/15/2034	B	Interest	L	T	Buy	03/27/18	L		
58. -TRIBOROUGH BEDG & TUNL AUTH NY 11/15/2030	A	Interest	K	T	Buy	03/27/18	K		
59. CHARLES SCHWAB ONE ACCOUNT	A	Interest	J	T					
60. CHARLES SCHWAB-INHERITED IRA									
61. -FIDELITY PURITAN FUND	A	Dividend	K	T	Redeemed (part)	12/24/18	J	B	
62. MANUFACTURERS AND TRADERS TRUST COMPANY-CERTIFICATE OF DEPOSIT	B	Interest	M	T					
63. UBS FINANCIAL SERVICES INC IRA ROLLOVER									
64. -UBS BANK USA DEP ACCT	A	Interest	K	T					

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65. -CONSUMERS STAPLES SELECT SECTOR SPDR FUND ETF	A	Int./Div.	K	T	Sold	06/29/18	K	C	
66. -ENERGY SELECT SECTOR SPDR FUND ETF	A	Int./Div.	K	T	Sold	06/29/18	K	C	
67. -FINANCIAL SELECT SECTOR SPDR FUND ETF	A	Int./Div.	L	T	Sold	06/29/18	L	D	
68. -ISHARES U.S. TECHNOLOGY ETF	A	Int./Div.	L	T	Sold	06/29/18	L	E	
69. -ISHARES MSCI EMERGING MARKETS ETF	A	Int./Div.	J	T	Sold	06/29/18	J	B	
70. -ISHARES CORE S&P TOTAL US STOCK MKT ETF	A	Int./Div.	J	T	Sold	06/29/18	J	B	
71. -ISHARES CURRENCY HEDGED MSCI EUROZONE ETF	A	Int./Div.	K	T	Sold	06/29/18	K	C	
72. -POWERSHARES S&P SMALL CAP INFORMATION TECHNOLOGY PORTFOLIO ETF	A	Int./Div.	K	T	Sold	06/29/18	K	D	
73. -REAL ESTATE SELECT SECT SPDR ETF	A	Int./Div.	J	T	Sold	06/29/18	J	A	
74. -SPDR S&P REGL BANKING ETF	A	Int./Div.	J	T	Sold	06/29/18	J	C	
75. -ISHARES CORE S&P SMALL-CAP EFT	A	Interest	K	T	Buy	06/29/18	K		
76. -ISHARES MSCI EAFE ETF	B	Interest	L	T	Buy	06/29/18	L		
77. -ISHARES CORE MSCI EAFE ETF	B	Interest	L	T	Buy	06/29/18	L		
78. -ISHARES CORE MSCI EMERGING	B	Interest	L	T	Buy	06/29/18	L		
79. -VANGUARD VALUE ETF	B	Interest	L	T	Buy	06/29/18	L		
80. -VANGUARD MID-CAP ETF	A	Interest	K	T	Buy	06/29/18	K		

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81. -VANGUARD GROWTH ETF	A	Interest	L	T	Buy	06/29/18	L		
82. -VANGUARD TOTAL WORLD STK ETF	A	Interest	J	T	Buy	06/29/18	J		
83. -ISHARES IBOXX INVT GRADE CORPORATE BOND ETF	A	Interest	K	T	Buy	06/29/18	K		
84. -ISHARES 20 YEAR TREAS BOND ETF	A	Interest	J	T	Buy	12/17/18	J		
85. -ISHARES BROAD USD INVT GRADE CORPORATE BOND ETF	B	Interest	K	T	Buy	06/29/18	K		
86. -ISHARES JP MORGAN USD EMERGING MARKETS BOND ETF	B	Interest	K	T	Buy	06/29/18	K		
87. -ISHARES US TREASURY BOND ETF	A	Interest	J	T	Buy	06/29/18	J		
88. -SPDR BLOOMBERG BARCLAYS HIGH YIELD BOND ETF	B	Interest	K	T	Buy	06/29/18	K		
89. -VANECK VECTORS JP MORGAN EM LOCAL CURRENCY BOND ETF	A	Interest	J	T	Buy	06/29/18	J		
90. -SPDR S&P TELECOM ETF	A	Int./Div.	J	T	Sold	06/29/18	J	A	
91. -SPDR S&P HEALTH CARE EQUIPMENT ETF	A	Int./Div.	J	T	Sold	06/29/18	J	C	
92. -SPDR S&P HEALTH CARE SERVICES ETF	A	Int./Div.	J	T	Sold	06/29/18	J	B	
93. -UTILITIES SECTOR SPDR FUND ETF	A	Int./Div.	J	T	Sold	06/29/18	J	A	
94. -VANECK VECTORS OIL SERVICE ETF	A	Int./Div.	J	T	Sold	06/29/18	J	A	
95. -VANGUARD CONSUMER DISCRETIONARY ETF	A	Int./Div.	L	T	Sold	06/29/18	L	E	
96. -VANGUARD HEALTH CARE ETF	A	Int./Div.	L	T	Sold	06/29/18	L	D	
97. -VANGUARD MATERIALS ETF	A	Int./Div.	K	T	Sold	06/29/18	K	B	

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)
98. -VANGUARD INDUSTRIALS ETF	A	Int./Div.	K	T	Sold	06/29/18	K	D	
99. UBS FINANCIAL SERVICES INC IRA ROLLOVER									
100. -UBS BANK USA DEP ACCT	A	Interest	J	T					
101. -ESCROW LB PAR VALUE	A	Int./Div.	J	T					
102. -MAN-AHL DIVERSIFIED I CLASS B	A	Int./Div.	K	T					
103. UBS FINANCIAL SERVICES INC TRADITIONAL IRA ACCOUNT									
104. -UBS BANK USA DEP ACCT	A	Interest	M	T					
105. -ISHARES CORE S&P SMALL-CAP ETF	A	Int./Div.	K	T	Redeemed (part)	04/26/18	J	A	
106. -ISHARES RUSSELL 2000 VALUE ETF	A	Int./Div.	J	T	Sold	09/22/17	J	C	
107. -ISHARES RUSSELL 2000 GROWTH ETF	A	Int./Div.	J	T	Sold	09/22/17	J	C	
108. -ISHARES GLOBAL ENERGY ETF	A	Int./Div.	J	T					
109. -ISHARES MSCI EMERGING MARKETS ETF	A	Int./Div.	J	T	Sold	02/13/18	J	A	
110. -ISHARES MSCI ACWI EX US ETF	A	Int./Div.	J	T	Sold	02/13/18	J	B	
111. -ISHARES CORE MSCI EAFE ETF	C	Int./Div.	M	T	Buy	02/14/18	L		
112. -ISHARES CORE MSCI EMERGING MARKETS ETF	B	Int./Div.	L	T	Buy	02/14/18	J		
113. -VANGUARD ENERGY ETF	A	Int./Div.	J	T	Sold	04/26/18	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)
114. -VANGUARD FTSE ALL WORLD EX-US ETF	B	Int./Div.	L	T	Sold	02/13/18	L	C	
115. -WISDOMTREE INTL EQUITY FUND ETF	B	Int./Div.	L	T	Sold	02/13/18	K	A	
116. -OPPENHEIMER S&P SMALLCAP 600 REV ETF	A	Int./Div.	J	T	Buy	02/14/18	J		
117. -SCHWAB FUNDAMENTAL INTL LARGE CO INDEX EFT	B	Int./Div.	K	T	Buy	02/14/18	K		
118. -FIRST EAGLE OVERSEAS FUND CLASS I	A	Int./Div.	K	T	Buy	02/14/18	K		
119. -THE GABELLI GOLD FUND INC CLASS I	A	Int./Div.	J	T					
120. -VAN ECK GLOBAL HARD ASSETS CL Y	A	Int./Div.	J	T					
121. -DOUBLELINE INCOME SOLUTIONS FD	A	Int./Div.	J	T	Redeemed (part)	06/22/18	K	A	
122. -ISHARES TIPS BOND ETF	A	Int./Div.	K	T					
123. -ISHARES 1-3 YEAR CREDIT BOND	A	Int./Div.	K	T					
124. -ISHARES IBONDS DEC 2018 TERM CORPORATE ETF	B	Int./Div.	L	T	Sold	12/20/18	L	A	
125. -ISHARES IBONDS DEC 2020 TERM CORPORATE ETF	B	Int./Div.	L	T					
126. -ISHARES IBONDS DEC 2019 TERM CORPORATE ETF	B	Int./Div.	L	T					
127. -ISHARES IBONDS DEC 2021 TERM CORPORATE ETF	A	Int./Div.	K	T					
128. -DOUBLE LINE TOTAL RETURN FUND INSTL	B	Int./Div.	L	T	Buy	06/22/18	L		
129. -DREYFUS INTERNATIONAL BOND FUND CL I	B	Int./Div.	K	T					
130. -DREYFUS OPPORTUNISTIC FIXED INCOME FUND CLASS I	A	Int./Div.	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$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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RAGGI, REENA

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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. -JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS I	B	Int./Div.	L	T					
132. -LOOMIS SAYLES STRATEGIC INCOME FUND CLASS Y	A	Int./Div.	J	T					
133. -LORD ABBETT BOND DEBENTURE FUND CLASS F	B	Int./Div.	K	T					
134. -METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS I	B	Int./Div.	K	T					
135. -PIMCO TOTAL RETURN FUND	B	Int./Div.	K	T					
136. -PIONEER STRATEGIC INCOME Y	A	Int./Div.	J	T					
137. -VOYA INTERMEDIATE BOND FUND CLASS I	B	Int./Div.	L	T					
138. MERRILL LYNCH-RAMIREZ WEALTH MANAGEMENT									
139. -CASH/MONEY ACCOUNTS - BANK OF AMERICA	A	Interest	J	T					
140. -GNA P001381M	A	Interest	J	T					
141. -GNM P0014893M	A	Interest	J	T					
142. UBS FINANCIAL SERVICES INC ACCOUNT									
143. -UBS BANK USA DEP ACCT (X)	A	Interest	K	T					
144. -ISHARES RUSSELL 2000 ETF (X)	A	Interest	J	T					
145. -ISHARES RUSSELL 1000 VALUE ETF	A	Interest	K	T					
146. -ISHARES RUSSELL 1000 GROWTH ETF	A	Interest	K	T					
147. -ISHARES CORE MSCI EAFE ETF	A	Interest	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)
148. -GREAT WSTN BK SD US MAT 02/26/2019	B	Interest	L	T	Buy	11/15/18	L		
149. -INVESTORS BK SHORT NJ US MAT 05/14/2019	A	Interest	L	T	Buy	11/15/18	L		
150. -NORTH AMER BKG CO MN US MAT 09/13/2019	B	Interest	L	T	Buy	11/15/18	L		
151. -ISHARES IBONDS DEC 2020 TERM CORPORATE ETF	B	Interest	K	T	Buy	04/26/18	K		
152. -ISHARES IBONDS DEC 2019 TERM CORPORATE ETF	A	Interest	K	T	Buy	04/26/18	K		
153. -JPMORGAN CHASE BANK BAR-MLCD SPX	B	Interest	L	T	Buy	09/25/18	L		
154. -DOUBLELINE STRATEGIC COMMODITY FUND CLASS I	A	Interest	K	T	Buy	04/26/18	K		
155. -BLACKROCK EQUITY DIVIDEND	A	Int./Div.	J	T	Sold	02/13/18	J	A	
156. -DELLWARE SMALL CAP CORE	A	Int./Div.	J	T	Sold	02/13/18	J	A	
157. -EDGEWOOD GROWTH FUND CL	A	Int./Div.	J	T	Sold	02/13/18	J	B	
158. -FIDELITY ADV MUNI INCOME FUND	A	Int./Div.	K	T	Sold	02/13/18	K	A	
159. -MFS MUNI INCOME FUND CL I	A	Int./Div.	K	T	Sold	02/13/18	K	B	
160. -MFS VALUE FUND CLASS I	A	Int./Div.	J	T	Sold	02/13/18	J	A	
161. -OPPENHEIMER INTERNATIONAL GROWTH FUND Y CLASS	A	Int./Div.	J	T	Sold	02/13/18	J	A	
162. -PIONEER AMT FREE MUNICIPAL FUND CLASS Y	A	Int./Div.	K	T	Sold	02/13/18	K		
163. -SPDR NUVEEN BLOOMBERG BARCLAYS SHORT TERM MUNI BOND ETF	A	Int./Div.	J	T	Sold	02/13/18	J		

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
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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)
164. -T ROWE PRICE EMERGING MARKETS STOCK FUND	A	Int./Div.	J	T	Sold	02/13/18	J	A	
165. -THE OAKMARK INTL FUND CLASS INVESTOR	A	Int./Div.	J	T	Sold	02/13/18	J	B	
166. -VANECK VECTORS HIGH YIELD MUNI INDEX ETF	A	Int./Div.	J	T	Sold	02/13/18	J		

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 138 - 141 REPRESENTS A 1/3 OWNERSHIP IN ACCOUNT.

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RAGGI, REENA

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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