

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/11/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address U.S. COURTHOUSE 225 CADMAN PLAZA EAST BROOKLYN, NY 11201	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign 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. MEMBER, JUDICIAL ADVISORY BOARD	GEORGE MASON SCHOOL OF LAW, CENTER FOR LAW AND ECONOMICS
2. MEMBER, PARISH COUNCIL	CHURCH OF THE ASSUMPTION, BROOKLYN NEW YORK
3. TRUSTEE	WILLIAM NELSON CROMWELL FOUNDATION
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.	

2009 MAY 10 4 00 PM
U.S. COURTS OF APPEALS
2ND CIRCUIT

FINANCIAL DISCLOSURE REPORT
Page 2 of 9

Name of Person Reporting
RAGGI, REENA

Date of Report
05/11/2010

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. 2009	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	\$25,830.00
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.	
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. NEW YORK STATE BAR ASSOCIATION	05/01/2009-05/03/2009	COOPERSTOWN, NEW YORK	PROFESSIONAL MEETING	HOTEL AND MEALS
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

05/11/2010

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

1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children: see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

05/11/2010

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)	A	Interest	J	T					
2. CITIBANK SAVINGS ACCOUNT					Closed	01/30/09			
3. CITIBANK CHECKING ACCOUNT	A	Interest	J	T					
4. CITI NEW YORK TAX FREE RESERVE MMF - R	A	Interest	M	T					
5. CITI NEW YORK TAX FREE RESERVE MMF -]	A	Interest			Closed	05/18/09			
6. CITIGROUP GLOBAL MKTS INC ACCOUNT NO.1 - R									
7. -FEDERAL FARM CREDIT BANK CONS BONDS	D	Interest			Redeemed	04/06/09	N		
8. -U.S. TREASURY NOTES SER R 2011 DTD 12/31/2006	E	Interest	O	T					
9. -NEW YORK ST URBAN DEV CORP REV RFDG	D	Interest	M	T					
10. -CORPORATE BOND - GENERAL ELEC CAP CORP DTD-3/06/2008	C	Interest	L	T					
11. -NEW YORK CITY G/O SER I DD 04/01/04 F/C 8/1/04	C	Interest	M	T					
12. -NEW YORK N Y GENL OBLIG BDS-G-B/E DD 01/03/2008	C	Interest	L	T					
13. -CERTIFICATE OF DEPOSIT	B	Interest	L	T					
14. -NEW YORK CITY G/O SER M 224/28/05 F/C 10/1/05	C	Interest	M	T	Buy	03/20/09	M		
15. -NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	C	Interest	M	T	Buy	05/20/09	M		
16. - NY ST THRUWY AUTH ST PERS INCM TX REV BDS	C	Interest	M	T	Buy	05/26/09	M		
17. CITIGROUP GLOBAL MKTS INC ACCOUNT NO.2 -]									

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 5 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

05/11/2010

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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				
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18. -NY STATE DORM AUTH REVS ST TAX EXEMPT OID	A	Interest			Redeemed	05/15/09	K	C	
19. GREENWICH ST.EMPLOYEES FUND	A	Int./Div.	J	U					
20. CITI SMITH BARNEY CGM IRA CUST-R									
21. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
22. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
23. -COCA COLA ENETRPRISE INC NOTES-ZERO CPN CORPORATE BONDS	C	Interest	M	T					
24. - GOVERNMENT BONDS	C	Interest			Sold	03/11/09	L		
25. -BERKSHIRE HATHAWAY INC DTD 04/29/04 CORPORATE BONDS	C	Interest	M	T	Buy	03/17/09	M		
26. CHARLES SCHWAB & CO INC CUST IRA ROLLOVER	C	Interest	L	T					
27. VANGUARD NEW YORK TAX-EXEMPT MMF	B	Interest			Sold	07/17/09	O		
28. VANGUARD INTER-TERM TAX EXEMPT ADM BOND FUND	C	Interest			Sold	07/17/09	M	B	
29. VANGUARD TOTAL STOCK MARKET INDEX BOND FUND ADM	A	Dividend			Sold	07/17/09	L		
30. THE VANGUARD GROUP IRA ROLLOVER - R									
31. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	N	T	Merged (with line 33)	07/17/09	N		
32. -VANGUARD TOTAL BOND MARKET INDEX FUND	C	Dividend	M	T	Merged (with line 33)	07/17/09	M		
33. MORGAN STANLEY SMITH BARNEY IRA ROLLOVER ACCOUNT									
34. -MORGAN STANLEY BANK N.A.		Interest	J	T	Open	07/17/09	N		

1. Income Gain Codes (See Columns H1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	H = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	O = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

05/11/2010

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35. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	A	Dividend	L	T	Buy	07/23/09	L		
36. -VANGUARD TOTAL BOND MARKET	A	Dividend	L	T	Buy	07/23/09	L		
37. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	A	Dividend	L	T	Buy	07/23/09	L		
38. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	A	Dividend	K	T	Buy	07/23/09	K		
39. -PRIMCO TOTAL RETURN A MUTUAL FUNDS	A	Dividend	K	T	Buy	07/23/09	K		
40. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	A	Dividend	K	T	Buy	07/23/09	K		
41. MORGAN STANLEY SMITH BARNEY BROKERAGE ACCOUNT									
42. -MORGAN STANLEY BANK N.A.	A	Interest	M	T	Open	07/17/09	O		
43. -NEW YORK N Y CITY TRANS FIN AUTH BLDG AID REV MUNI BONDS	A	Interest	K	T	Buy	07/30/09	K		
44. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BOND	A	Interest	K	T	Buy	08/19/09	K		
45. -NEVADA ST MUNI BD BK MUNI BOND	A	Interest	K	T	Buy	07/30/09	K		
46. -CALIFORNIA ST GENL OBLIG MUNI BONDS	A	Interest	K	T	Buy	07/30/09	K		
47. -NEW YORK N T GENL OBLIG SER-O MUNI BONDS	A	Interest	L	T	Buy	08/19/09	L		
48. -NEW YORK ST URBAN DEV CORP EMP IRE ST DEV CORP SVC MUNIS	A	Interest	L	T	Buy	08/03/09	L		
49. -NEW YORK N Y GENL OBLIG SER D MUNI BONDS	A	Interest	L	T	Buy	08/06/09	L		
50. -LONG ISLAND PWR AUTH N Y ELEC SYS REV-A MUNI BONDS	A	Interest	K	T	Buy	08/20/09	K		
51. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BONDS	A	Interest	K	T	Buy	08/19/09	K		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

05/11/2010

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52. -AMERICAN EXPRESS CREDIT CO CORPORATE BONDS	A	Interest	K	T	Buy	08/20/09	K		
53. -GOLDMAN SACHS GROUP INC CORPORATE BONDS	A	Interest	K	T	Buy	08/20/09	K		
54. -MORGAN STANLEY CORPORATE BONDS	A	Interest	K	T	Buy	08/20/09	K		
55. -WACHOVIA CORP CORPORATE BONDS	A	Interest	K	T	Buy	08/20/09	K		
56. -CALVERT SHORT DURATION INC C MUTUAL FUNDS	A	Dividend	K	T	Buy	07/23/09	K		
57. -DRYDEN SH TRM CORP BD C MUTUAL FUNDS	A	Dividend	K	T	Buy	07/23/09	K		
58. -VIRTUS MULTI-SECTOR S/T BD T MUTUAL FUNDS	A	Dividend	K	T	Buy	07/23/09	K		
59. -WELLS FARGO SHT TRM MUNI BD C MUTUAL FUNDS	A	Dividend	L	T	Buy	07/30/09	L		
60.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT
Page 8 of 9

Name of Person Reporting	Date of Report
RAGGI, REENA	05/11/2010

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

- 1)PART VII, PAGE 4, LINE #2: THIS ACCOUNT WAS CLOSED ON JANUARY 30, 2009.
- 2)PART VII, PAGE 4, LINE #5: THIS ACCOUNT WAS CLOSED ON MAY 18, 2009.
- 3)PART VII, PAGE 5, LINES#27,#28,#29: THESE ACCOUNTS WERE SOLD ON JULY 17, 2009 AND THE PROCEEDS WERE USED TO OPEN AN ACCOUNT AT MORGANSTANLEY SMITHBARNEY ON JULY 17,2009.
- 4)PART VII, PAGE 5, LINES#3, #32: THIS ACCOUNT WAS CLOSED AND ALL FUNDS WERE MERGED TO OPEN A MORGANSTANLEY SMITHBARNEY IRA ROLLOVER ACCOUNT ON LINE #33.
- 5)PART VII, PAGE 6, LINE #58: THIS ACCOUNT WAS OPENED ON JULY 17, 2009 FROM THE PROCEEDS OF THE VANGUARD ACCOUNTS FROM LINE #27, LINE #28 AND LINE #29.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

05/11/2010

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 _____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544