

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Lohier, Raymond J.	2. Court or Organization Second Circuit	3. Date of Report 08/09/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Thurgood Marshall United States Courthouse 40 Foley Square, Room 2403 New York, NY 10007		
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	Trust #1
2. Trustee	New York University Law School
3. Adjunct Professor	New York University Law School
4. Executive Committee	American Law Institute
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.		
2. 2019	New York University School of Law - Teaching	\$21,000.00
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. 2019	City University of New York School of Law - Salary
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.	American Law Institute	January 17 - 18, 2019, May 19-22, 2019	Philadelphia, PA, Washington, DC	Bar Association	Transportation, Meals, Hotel
2.	Second Circuit Federal Bar Council	February 18 - 23, 2019	Maui, HI	Bar Association	Transportation, Meals, Hotel
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. American Century Growth Stock Fund	A	Dividend	K	T					
2. American Century Ultra Stock Fund	A	Distribution	L	T					
3. American Century Retirement Growth Stock Fund	A	Distribution	K	T					
4. IRA AIG American Pathway (Annuity)	A	Int./Div.	K	T					
5. Fidelity Asset MGR	A	Int./Div.	K	T					
6. Fidelity Growth Co.	A	Dividend	M	T					
7. Fidelity Worldwide Fund (Fidelity Roth IRA)	A	Dividend	L	T					
8. Fidelity Retirement Money Market	A	Interest	K	T					
9. Fidelity Investment Contract	A	Interest	J	T					
10. Fidelity SIT MidCap Growth Fund	A	Interest	K	T					
11. Fidelity Magellan		None	M	T					
12. Janus 20 Fund	C	Distribution	J	T					
13. Janus Global Technology Fund	A	Distribution	J	T					
14. Vanguard Growth Index Fund	A	Int./Div.	L	T					
15. Vanguard Small Cap Index Fund	A	Int./Div.	L	T					
16. Vanguard 500 Index Fund	A	Int./Div.	L	T					
17. Vanguard Total Stock Market ETF mutual fund (Wachovia Roth IRA)	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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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. TIAA Cref Retirement Fund	A	Interest	O	T					
19. T Rowe Price New Horizons Fund	C	Distribution	L	T					
20. T Rowe Price International Stock Fund	A	Int./Div.	K	T					
21. Vanguard Windsor 2 Fund	A	Int./Div.	L	T					
22. Bank of America Common Stock	A	Dividend	J	T					
23. Becton Dickinson & Co. common stock	A	Int./Div.	L	T					
24. Chevron common stock	B	Dividend	K	T					
25. Cisco, Inc. common stock		None	J	T					
26. Dow Chemical common stock	A	Dividend	J	T					
27. Honeywell International Common Stock	A	Dividend	K	T					
28. Intel Corp. common stock	A	Dividend	J	T					
29. Microsoft Corp. common Stock	B	Dividend	M	T	Sold (part)	07/29/19	K	E	
30. OGE Energy Corp.	B	Int./Div.	L	T					
31. Time Warner Inc., common stockl	A	Dividend	J	T					
32. Trust #1		None	O	W					
33. Flrst Clearing LLC (X)	E	Dividend	K	T					
34. Apple Inc. (X)	B	Dividend	M	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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35. Corning Inc. (X)	A	Dividend	J	T					
36. Prudential Financial Inc. (X)	A	Dividend			Sold	07/29/19	K	C	
37. Qualcomm (X)	A	Dividend			Sold	07/29/19	J	A	
38. Invesco Floating Rate Mutual Fund (X)	C	Dividend	M	T					
39. Prudential Jenn Value Fund C (Mutual Fund) (X)	A	Distribution			Sold	07/29/19	L	A	
40. Prudential Short Term Corporate Bond Fund (Mutual Fund) (X)	A	Dividend			Sold	07/29/19	L	A	
41. Charter Communications	A	Dividend	J	T					
42. Blackrock Muni 2020 Term Trust	B	Dividend			Sold	7/30/19	L	C	
43. Fidelity Contrafund	A	Interest	L	T					
44. Vanguard Target 2030	A	Interest	L	T					
45. Residio Technologies		None			Sold	07/29/19	J	A	
46. Advansix, Inc.		None			Sold	07/29/19	J	A	
47. Garrett Motion Inc.		None			Sold	07/29/19	J	A	
48. Blackrock Funds II Multi Asset Income Porftolio	C	Dividend	L	T	Buy	07/30/19	L		
49. Center Coast Brookfield Midstream Focus fund Class Y	B	Dividend	J	T	Buy	07/30/19	K		
50. Eaton Vance global Macro Absolute Return Fund Class I	B	Int./Div.	K	T	Buy	07/30/19	K		
51. Federated Equity Funds Strategic Value Dividend Fund	B	Int./Div.	K	T	Buy	07/30/19	K		

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52. Franklin Custodian Funds Income Service Adv CL AD	A	Dividend	K	T	Buy	07/30/19	K		
53. Goldman Sachs Finnancial Square Treasury Instruments Fund	A	Dividend	J	T	Buy	07/30/19	J		
54. John Hancock Funds III Global SHareholder Yield Class I	B	Dividend	K	T	Buy	07/30/19	K		
55. JPMorgan Income Builder Fund Class I	B	Dividend	K	T	Buy	07/30/19	K		
56. Neuberger Berman Equity Income Funds Institutional Class	A	Dividend	K	T	Buy	07/30/19	K		
57. Nuveen Investment Funds Real Asset Income Fund	B	Dividend	K	T	Buy	07/30/19	K		
58. Principal Funds Inc. Global IDversifeid Income Fund	C	Dividend	L	T	Buy	07/30/19	L		
59. JPMorgan Treausrey Equity Income Fund	A	Dividend	J	T	Buy	07/30/19	K		
60. TDW Funds INc Emerging Markets Income Fund	A	Dividend	K	T	Buy	07/30/19	K		
61.									
62.									

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

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
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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

1) Part I

"Trust #1 is an "unfunded trust" whose sole asset is a term life insurance policy.

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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/ **Raymond J. Lohier**

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