

FINANCIAL DISCLOSURE REPORT

Nomination Report

Report required by the Ethics in
Government Act of 1978, as amended
(5 U.S.C. App. Sec. 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 05/03/2002
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES CIRCUIT JUDGE		5. Report Type (check type) ☒ Nomination, Date 05/01/2002 Initial Annual Final	6. Reporting Period 01/01/2001 to 04/30/2002
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 section where you have no reportable information. Sign on the last page.			

I. POSITIONS (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION / ENTITY
☒ NONE (No reportable positions.)	
1	
2	
3	

II. AGREEMENTS (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
☒ NONE (No reportable agreements.)	
1	
2	
3	

III. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1 Annual	(S) Citigroup salary	
2 Annual	(S) Self-employment income from legal and consulting practice	
3		
4		

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IV. REIMBURSEMENTS — transportation, lodging, food, entertainment.*(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)*

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements.)	

1 Exempt

2

3

4

5

6

7

V. GIFTS*(Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)*

	SOURCE	DESCRIPTION	VALUE
☒	NONE (No such reportable gifts.)		

1

2

3

VI. LIABILITIES*(Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)*

	CREDITOR	DESCRIPTION	VALUE CC
☒	NONE (No reportable liabilities.)		

1

2

3

4

5

6

* VAL CODES: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$100,000 M=\$100,001-\$250,000 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=\$50,000,001 or more

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VII Page 1 INVESTMENTS and TRUSTS— income, value, transactions
(Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 CITIBANK ACCOUNTS	D	Interest	M	T					
2 BROKERAGE ACCOUNT NO. 1:									
3 - Money Market Fund	A	Interest	J	T					
4 - Citigroup Common	C	Dividend	N	T					
5 BROKERAGE ACCOUNT NO. 2:									
6 - Money Market Fund	A	Interest	J	T					
7 - Citigroup Common	C	Dividend	M	T					
8 BROKERAGE ACCOUNT NO. 3:									
9 - Money Market Fund	B	Interest	M	T					
10 - Citigroup Common	C	Dividend	N	T					
11 - NYS Dorm. Auth. Zero Bonds		None	K	T					
12 - NYC Gen. Obl. Zero Bonds		None	K	T					
13 BROKERAGE ACCOUNT NO. 4:									
14 - Money Market Fund	B	Interest	L	T					
15 - DTE Energy Common	B	Dividend	K	T					
16 IRA ACCOUNT NO. 1:	A	Interest	L	T					
17 - Money Market Fund									

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4) 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=\$5,000,001 or more E=\$15,001-\$50,000

2 Val Codes: J=\$15,000 or less (Col. C1, D3) K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000 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=\$50,000,001 or more

3 Val Mth Codes: Q=Appraisal (Col. C2) U=Book Value R=Cost (real estate only) V=Other S=Assessment W=Estimated T=Cash/Market

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05/03/2002VII. Page 2 INVESTMENTS and TRUSTS— income, value, transactions *(Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)*

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NONE (No reportable income, assets, or transactions.)									
18 - Treasury Zeroes									
19 IRA ACCOUNT NO. 2:	C	Interest	M	T					
20 - Money Market Fund									
21 Citigroup 401K Plan	A	Div. & Int.	M	T					
22 NY College Savings Acct. R	B	Interest	K	T					
23 NY College Savings Acct. D	B	Interest	K	T					
24 Greenwich St. Employees Fund	C	Div. & Int.	L	U					
25 Keogh Plan (Money Market)			J	T					See Part VIII.
26 Charles Schwab Money Market Funds	A	Interest							See Part VIII.
27 CHARLES SCHWAB (IRA)	A	Div. & Int.							See Part VIII.
28 - Money Market Fund									See Part VIII.
29 - Strong Short Term Hi-Yield Bond Fund									See Part VIII.
30 Strong Advantage Fund	A	Dividend							See Part VIII.
31									
32									
33									
34									

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2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000 K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000 L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000 M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000 N=\$250,001-\$500,000 P4=\$50,000,001 or more

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.

(Indicate part of report.)

Part VII:

Asset shown in Line 25 was funded in 2002 and therefore shows no income for calendar year 2001 but had a value under \$15,000 as of 4/30/02.

Assets shown in Lines 26 to 30 had income over \$200 during 2001 but were closed or transferred to other accounts during 2001, and therefore show no value as of 4/30/02.

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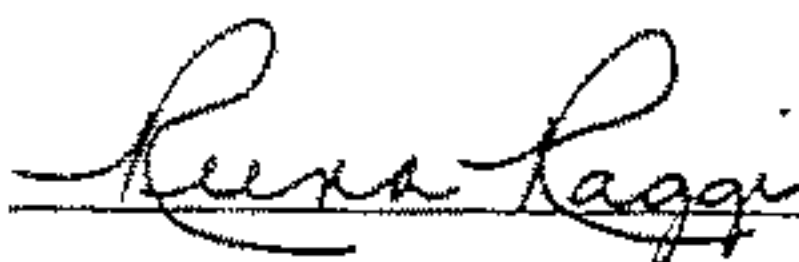
05/03/2002

IX. CERTIFICATION

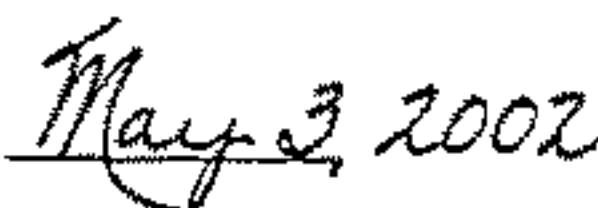
I certify that all the information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature



Date

**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. 4, Section 104).

FILING INSTRUCTIONS

Mail original and three additional copies to:

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

VALUED AS OF 5/1/02

ASSETS				LIABILITIES			
Cash on hand and in banks	489,497			Notes payable to banks-secured	-	-	-
U.S. Government securities-add schedule		822*		Notes payable to banks-unsecured	-	-	-
Listed securities-add schedule	872,282			Notes payable to relatives	-	-	-
Unlisted securities-add schedule	54,373			Notes payable to others	-	-	-
Accounts and notes receivable:				Accounts and bills due	-	-	-
Due from relatives and friends	-	-	-	Unpaid income tax	-	-	-
Due from others	15,460			Other unpaid income and interest	-	-	-
Doubtful	-	-	-	Real estate mortgages payable-add schedule	-	-	-
Real estate owned-add schedule	700,000			Chattel mortgages and other liens payable	-	-	-
Real estate mortgages receivable	-	-	-	Other debts-itemize:	-	-	-
Autos and other personal property	50,000						
Cash value-life insurance	-	-	-				
Other assets itemize:							
IRA ACCOUNTS	231,445						
401(K) & KEOGH PLANS	220,720						
PENSION PLAN	150,000			Total liabilities	-	-	-
NY COLLEGE SAVINGS PLANS	42,796			Net Worth	2,827,755		
Total Assets	2,827,755			Total liabilities and net worth	2,827,755		
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor	-	-	-	Are any assets pledged? (Add schedule)	No		
On leases or contracts	-	-	-	Are you defendant in any suits or legal actions?	No		
Legal Claims	-	-	-	Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax	-	-	-				
Other special debt	-	-	-				