

FINANCIAL DISCLOSURE REPORT NOMINATION FILING

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 03/09/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - nominee	5a. Report Type (check appropriate type) ☒ Nomination, Date ☐ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2009 to 2/28/2010
7. Chambers or Office Address One St. Andrew's Plaza New York, New York 10007	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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Trustee	Trust #1
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

Name of Person Reporting	Date of Report
Lohier, Raymond J.	03/09/2010

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.)

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
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. 2009	City University of New York School of Law - Salary
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. Exempt				
2.				
3.				
4.				
5.				

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

☐ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1. Exempt		
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.		

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 Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. American Century Growth Stock Fund	A	Dividend	J	T	Exempt				
2. American Century Ultra Stock Fund	A	Int./Div.	J	T					
3. American Century Retirement Growth Stock Fund	A	Int./Div.	J	T					
4. IRA AIG American Pathway (Annuity)	A	Int./Div.	J	T					
5. Fidelity Asset MGR	A	Int./Div.	K	T					
6. Fidelity Growth Co	A	Int./Div.	K	T					
7. Fidelity Magellan Fund	A	Int./Div.	K	T					
8. Fidelity Worldwide Fund	A	Int./Div.	K	T					
9. Fidelity Retirement Money Market	A	Interest	K	T					
10. Fidelity Investment Contract	A	Interest	J	T					
11. Fidelity SIT MidCap Growth Fund	A	Interest	J	T					
12. IRA Fidelity Mutual Funds		None	L	T					
13. Sun America Fund/Annuity		None	J	T					
14. Janus 20 Fund	A	Int./Div.	K	T					
15. Janus Global Technology Fund	A	Int./Div.	J	T					
16. Vanguard Growth Index Fund	A	Interest	K	T					
17. Vanguard Small Cap Index Fund	A	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 H2 = More than \$5,000,000	D = \$5,001 - \$15,000 E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D3)	I = \$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

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Vanguard 500 Index Fund		None	K	T					
19. Vanguard Windsor 2 Fund	A	Interest	K	T					
20. Wachovia Roth IRA	A	Int./Div.	K	T					
21. TIAA CREF Retirement Fund	A	Interest	M	T					
22. T Rowe Price New Horizons Fund	A	Interest	K	T					
23. T Rowe Price International Stock Fund	A	Interest	J	T					
24. AOL Inc. common stock (formerly known as AOL Time Warner)		None	J	T					
25. Bank of America common stock	A	Dividend	J	T					
26. Becton Dickinson & Co. common stock	A	Int./Div.	K	T					
27. China Mobile Ltd.	A	Dividend	J	T					
28. Chevron common stock	A	Dividend	K	T					
29. Cisco, Inc. common stock		None	J	T					
30. Dow Chemical common stock	A	Dividend	J	T					
31. Exxon Mobil Corp. common stock	A	Dividend	J	T					
32. Honeywell International common stock	A	Dividend	J	T					
33. IBM Corp. common stock	A	Dividend	K	T					
34. Intel Corp. common stock	A	Dividend	J	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. International Game Technology common stock	A	Dividend	J	T					
36. Microsoft Corp. common stock	A	Dividend	K	T					
37. OGE Energy Corp.	A	Int./Div.	K	T					
38. Oracle Corp. common stock	A	Dividend	J	T					
39. Staples Inc. common stock	A	Dividend	J	T					
40. Time Warner Cable Inc. (spinoff of Time Warner Inc.)	A	Dividend	J	T					
41. Time Warner Inc. common stock	A	Dividend	J	T					
42. Trust #1		None	O	W					
43.									

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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.

ASSETS				LIABILITIES			
Cash on hand and in banks		43	000	Notes payable to banks-secured			
U.S. Government securities-add schedule				Notes payable to banks-unsecured			
Listed securities-add schedule		185	355	Notes payable to relatives			
Unlisted securities--add schedule		539	700	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			500
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable-add schedule		470	165
Real estate owned-add schedule	1	150	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		21	000				
Cash value-life insurance							
Other assets itemize:							
				Total liabilities		470	665
				Net Worth	1	468	390
Total Assets	1	939	055	Total liabilities and net worth	1	939	055
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			500				
Other special debt							