

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/04/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. TRUSTEE	WILLIAM NELSON CROMWELL FOUNDATION, NEW YORK, NEW YORK
2. EMPLOYEE-PROFESSOR	NEW YORK UNIVERSITY LAW SCHOOL
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.	

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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. 2020	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	\$30,000.00
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. 2020	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 CHECKING ACCOUNT	A	Interest	O	T					
2. CITI PERSONAL WEALTH MANAGEMENT									
3. -BARCLAYS BK DEL RETAIL CTF DEP 3A2 3.050% 12/21/20	C	Interest			Redeemed	12/21/20	M		
4. -GOLDMAN SACHS BK USA NEW YORK CTF DEP ACT/365 2.40% 06/19/19	B	Interest	M	T					
5. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA									
6. -COCA COLA ENTERPRISE INC NOTES-ZERO CPN CORPORATE BONDS	B	Interest			Redeemed	06/22/20	M	F	
7. -PUTNAM SHORT DURATION BOND FUND CLASS A	D	Interest	O	T					
8. -CASH ACCOUNT-CITIBANK BANK DEPOSIT PROGRAM	A	Interest	M	T					
9. CHARLES SCHWAB-CONTRIBUTORY IRA-HIGHTOWER ADVISORS LLC									
10. -CASH ACCOUNT	A	Interest	K	T					
11. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
12. -VANGUARD BOND INDEX FUND	C	Dividend	L	T					
13. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
14. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T					
15. -PIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
16. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	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	

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)
17. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T					
18. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T					
19. -GUGGENHEIM S&P 500 EQUAL EFT	B	Dividend	L	T					
20. CHARLES SCHWAB-HIGHTOWER SECURITIES, LLC									
21. -FIDELITY GOVT MMKT CAPITAL RESERVES	A	Dividend	M	T					
22. -FIEDELITY NY MUNI MONEY MARKET	A	Dividend	N	T					
23. -GENERAL ELECTRIC CO	A	Dividend	J	T					
24. -PFIZER INC	B	Dividend	K	T					
25. -METROPOLITAN TRANSN AUTH N Y REV FOR-11/15/2026	B	Int./Div.	K	T					
26. -METROPOLITAN TRANSN AUTH N Y REV FOR-11/15/2023	B	Interest	L	T					
27. -METROPOLITAN TRANSN AUTH NY REV TRANS-11/15/2028	B	Interest	K	T					
28. -NEW YORK ST TWY AUTH GEN REV GEN REV-01/01/2032	B	Interest	K	T					
29. -NEW YORK N Y GO BDS SER B 4.00% 08/01/2022	A	Interest	K	T					
30. -NEW YORK ST TWY AUTH ST PERS INCOME TAX 3.125 03/15/2025	B	Interest			Redeemed	09/15/20	L		
31. -NEW YORK ST DORM AUTH REVS NON ST 3.00% 07/01/2028	B	Interest	L	T					
32. -ALBANY CNTY N Y ARPT AUTH ARPT REV REV 3.00% 12/15/2028	B	Interest	L	T					
33. -MONROE CNTY N Y PUB IMPT SERIAL BDS 3.00% 06/01/2029	B	Interest	L	T					

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	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)
34. -METROPOLITAN TRANSN AUTH N Y DEDICATED 11/15/2030	A	Interest	K	T					
35. -TRIBOROUGH BRDG & TUNL AUTH N Y REVS 11/15/2030	A	Interest	K	T					
36. -NEW YORK N Y CITY TRANSITIONAL FIN 5.00% 05/01/2034	B	Interest	K	T					
37. -METROPOLITAN TRANSN AUTH N Y REV REF 4.00% 11/15/2034	B	Interest	L	T					
38. -HUDSON YDS INFRASTRUCTURE CIRO 5.00% 02/15/2037	B	Interest	L	T					
39. -CALVERT SHORT DURATION INC CL A-MUTUAL FUNDS	B	Dividend	L	T					
40. -INVESCO ROCHESTER LMTD TM NY C-MUTUAL FUND	C	Dividend	L	T					
41. -MAINSTAY HIGH YIELD CORP CLASS C-MUTUAL FUND	C	Dividend	L	T					
42. -PGIM SHORT-TERM CORP BOND CL A-MUTUAL FUND	B	Dividend	K	T					
43. -PGIM SHORT-TERM CORP BOND CL C-MUTUAL FUND	A	Dividend	K	T					
44. -VIRTUS NEWFLEET LOW DUR CORE PLUS BD A-MUTUAL FUND	A	Dividend	J	T					
45. -VIRTUS NEWFLEET LOW DUR CORE PLUS BD C-MUTUAL FUND	A	Dividend	K	T					
46. -VIRTUS NEWFLEET MLT SECTOR SH TERM BD A-MUTUAL FUND	B	Dividend	L	T					
47. -VIRTUS NEWFLEET MLT SECTOR SH TERM BD C1-MUTUAL FUND	B	Dividend	K	T					
48. -WELLS FARGO SHORT TERM MUNI BD A-MUTUAL FUND	A	Dividend	L	T					
49. -WELLS FARGO SHORT TERM MUNI BOND FUND C-MUTUAL FUND	A	Dividend	K	T					
50. CHARLES SCHWAB ONE ACCOUNT	A	Interest	L	T					

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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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51. CHARLES SCHWAB-INHERITAD IRA									
52. -FIDELITY PURITAN FUND	A	Dividend	K	T					
53. MANUFACTURES AND TRADERS TRUST COMPANY-CERTIFICATE OF DEPOSIT	B	Interest	M	T					
54. UBS FINANCIAL SERVICES INC IRA ROLLOVER									
55. -UBS BANK USA DEP ACCT	A	Interest	J	T					
56. -ISHARES CORE S&P SMALL-CAP ETF	A	Interest	K	T	Buy (add'l)	04/27/20	J		
57. -ISHARES MSCI EAFE ETF	B	Interest	K	T					
58. -ISHARES MSCI EAFE SMALL CAP ETF	A	Interest	K	T	Buy	12/14/20	K		
59. -ISHARES CORE MSCI EAFE ETF	B	Interest	M	T	Buy (add'l)	03/20/20	K		
60. -ISHARES CORE MSCI EMERGING MARKETS ETF	B	Interest	L	T					
61. -VANGUARD VALUE ETF	B	Interest	L	T	Buy (add'l)	09/24/20	K		
62. -VANGUARD MID-CAP ETF	B	Interest	L	T	Buy (add'l)	06/10/20	K		
63. -VANGUARD GROWTH ETF	B	Interest	L	T	Redeemed (part)	09/02/20	K	D	
64. -VANGUARD TOTAL WORLD STK ETF	A	Interest	K	T	Buy	06/19/20	K		
65. -VANGUARD RUSSELL 2000 ETF	A	Interest	K	T	Buy	12/14/20	K		
66. -ISHARES IBOXX INVT GRADE CORPORATE BOND ETF	A	Interest	K	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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67. -ISHARES 20 YEAR TREAS BOND ETF	A	Interest	J	T	Buy (add'l)	11/13/20	J		
68. -ISHARES BROAD USD INVT GRADE CORPORATE BOND ETF	B	Interest	L	T	Buy (add'l)	11/13/20	K		
69. -ISHARES JP MORGAN USD EMERGING MARKETS BOND ETF	B	Interest	K	T	Buy (add'l)	08/21/20	J		
70. -ISHARES BROAD USD HIGH YIELD BOND ETF	A	Interest	K	T	Buy (add'l)	03/03/20	J		
71. -PIMCO ENHANCED SHORT MAT ACTIVE ETF	A	Interest			Sold	06/19/20	K		
72. -SCHWAB US TIPS ETF	A	Interest	J	T					
73. -VANECK VECTORS JP MORGAN EM LOCAL CURRENCY BOND ETF	A	Interest	J	T					
74. UBS FINANCIAL SERVICES INC IRA ROLLOVER									
75. -UBS BANK USA DEP ACCT	A	Interest	J	T					
76. -ESCROW LB PAR VALUE	A	Int./Div.	J	T					
77. -MAN-AHL DIVERSIFIED I CLASS B	A	Int./Div.	L	T					
78. UBS FINANCIAL SERVICES INC TRADITIONAL IRA									
79. -UBS BANK USA DEP ACCT	A	Interest	J	T					
80. -INVESCO OPPENHEIMER S&P SMALLCAP 600 REV ETF	A	Int./Div.	K	T					
81. -ISHARES CORE S&P SMALL-CAP ETF	A	Int./Div.	L	T					
82. -ISHARES GLOBAL ENERGY ETF	A	Int./Div.	J	T					
83. -ISHARES CORE MSCI EAFE ETF	C	Int./Div.	L	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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84. -ISHARES CORE MSCI EMERGING MARKETS ETF	B	Int./Div.	L	T					
85. -SCHWAB FUNDAMENTAL INTL LARGE CO INDEX EFT	B	Int./Div.	K	T					
86. -FIRST EAGLE OVERSEAS FUND CLASS I	A	Int./Div.	L	T					
87. -THE GABELLI GOLD FUND INC CLASSI	A	Int./Div.	J	T					
88. -VAN ECK GLOBAL HARD ASSETS CL Y	A	Int./Div.	J	T					
89. -MEDALLION BK UT US RATE 2.00% MAT 04/06/2021	A	Interest	L	T	Buy	12/22/20	L		
90. -ISHARES SHORT-TERM 1-5 CREDIT CORPORATE BOND ETF	B	Int./Div.	K	T					
91. -ISHARES IBONDS DEC 2020 TERM CORPORATE ETF	B	Int./Div.			Redeemed	12/18/20	L	A	
92. -ISHARES IBONDS DEC 2021 TERM CORPORATE ETF	A	Int./Div.	K	T					
93. -DOUBLE LINE TOTAL RETURN FUND INSTL	C	Int./Div.	L	T					
94. -DREYFUS INTERNATIONAL BOND FUND CL 1 BNY MELLON INTERNATIONAL	B	Int./Div.			Redeemed	06/15/20	K	A	
95. -JPMORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS 1	B	Int./Div.	L	T					
96. -LORD ABBETT BOND DEBENTURE FUND CLASS F	B	Int./Div.	K	T					
97. -METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS 1	B	Int./Div.	K	T					
98. -PIMCO TOTAL RETURN FUND CLASS 12	B	Int./Div.	K	T					
99. -VOYA INTERMEDIATE BOND FUND CLASS 1	B	Int./Div.			Sold	03/16/20	M	B	

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100. MERRILL LYNCH-RAMIREZ WEALTH MANAGEMENT									
101. -CASH/MONEY ACCOUNTS - BANK OF AMERICA	A	Interest	J	T					
102. -GNA P001381M	A	Interest	J	T					
103. -GNM P0014893M	A	Interest	J	T					
104. UBS FINANCIAL SERVICES INC ACCOUNT									
105. -UBS BANK USA DEP ACCT/MMF YIELD	A	Interest	M	T					
106. -ISHARES RUSSELL 2000 ETF	A	Interest	J	T					
107. -ISHARES RUSSELL 1000 VALUE ETF	A	Interest	K	T					
108. -ISHARES RUSSELL 1000 GROWTH ETF	A	Interest	K	T					
109. -ISHARES CORE MSCI EAFE ETF	A	Interest	J	T					
110. -ISHARES BONDS DEC 2020 TERM CORPORATE ETF	B	Interest			Sold	12/18/20	K	A	
111. -JPMORGAN CHASE BANK NA BAR-MLCD SPX	B	Interest			Matured	09/30/20	M	E	
112. -UBS SELECT GOVERNMENT INVESTOR FUND	A	Interest			Merged (with line 105)	03/18/20	L		
113. -VALLEY NATL BANK CERT OF DEPOSIT MAT 01/02/2020	A	Interest			Matured	01/01/20	K		
114. -FLUSHING BANK NY US CERT OF DEPOSIT MAT 01/06/2020	A	Interest			Matured	01/06/20	K		
115. -MEDALLION BK UT US CERT OF DEPOSIT MAT 01/10/2020	A	Interest			Matured	01/10/20	K		
116. -HOMESTREET BANK WA US CERT OF DEPOSIT MAT 01/16/2020	A	Interest			Matured	01/16/20	K		

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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Name of Person Reporting

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)
117. -TCF NATIONAL BANK SD US CERT OF DEPOSIT MAT 01/16/2020	A	Interest			Matured	01/16/20	K		
118. -TRISTATE CAP BK PA US CERT OF DEPOSIT MAT 01/22/2020	A	Interest			Matured	01/22/20	K		
119. -BMO HARRIS BK US CERT OF DEPOSIT MATURE 03/31/2021	A	Interest	M		Buy	12/21/20	M		
120. -VALLEY NATL BANK US CERT OF DEPOSIT MATURE 04/02/2021	A	Interest	M		Buy	10/01/20	M		
121. -MORGAN STANLEY PRV US CERT OF DEPOSIT MATURE 04/12/2021	A	Interest	K		Buy	12/21/20	K		
122. -TCF NATIONAL BANK SD US CERT OF DEPOSIT MATURE 04/08/2021	A	Interest	M		Buy	12/04/20	M		
123. -PINNACLE BANK TN US CERT OF DEPOSIT MATURE 04/21/2021	A	Interest	M		Buy	09/01/20	M		
124. -COMENITY CAP BK UT US CERT OF DEPOSIT MATURE 04/30/2021	A	Interest	K		Buy	12/22/20	K		
125. -STERNS BANK NA MN US CERT OF DEPOSIT MATURE 05/28/2021	A	Interest	M		Buy	10/30/20	M		
126. UBS FINANCIAL SERVICES INC TRADITIONAL IRA									
127. -UBS BANK USA DEP ACCOUNT	A	Interest	J	T					
128. -ACCENTURE PLC IRELAND CL A	A	Int./Div.	J	T	Buy	03/18/20	J		
129. -ADOBE INC	A	Int./Div.	J	T	Buy	03/18/20	J		
130. -ALPHABET INC CL A	A	Int./Div.	K	T	Buy	03/18/20	K		
131. -AMAZON.COM INC	A	Int./Div.	K	T	Buy	03/18/20	K		
132. -AMERICAN TOWER CORP REIT	A	Int./Div.	J	T	Buy	03/18/20	J		
133. -AMERIPRISE FINANCIAL INC	A	Int./Div.	J	T	Buy	03/18/20	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 \$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)	(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)
134. -APPLE INC	A	Int./Div.	K	T	Buy	09/22/20	K		
135. -COMCAST CORP NEW CL A	A	Int./Div.	J	T	Buy	03/18/20	J		
136. -COSTCO WHOLESALE CORP	A	Int./Div.	J	T	Buy	03/18/20	J		
137. -DANAHER CORP	A	Int./Div.	J	T	Buy	04/13/20	J		
138. -DOLLAR GEN CORP NEW	A	Int./Div.	J	T	Buy	12/08/20	J		
139. -FACEBOOK INC CL A	A	Int./Div.	K	T	Buy	03/18/20	K		
140. -FIEDELITY NATL INFORMATION SVCS	A	Int./Div.	J	T	Buy	12/08/20	J		
141. -HOME DEPOT INC	A	Int./Div.	J	T	Buy	03/18/20	J		
142. -HONEYWELL INTL INC	A	Int./Div.	J	T	Buy	06/09/20	J		
143. -INTERCONTINENTAL EXCHANGE GROUP	A	Int./Div.	J	T	Buy	03/18/20	J		
144. -LAUDER ESTEE COS CL A	A	Int./Div.	J	T	Buy	03/18/20	J		
145. -LOWES COMPANIES INC	A	Int./Div.	J	T	Buy	03/18/20	J		
146. -MEDTRONICS PLC	A	Int./Div.	J	T	Buy	04/13/20	J		
147. -MICROSOFT CORP	A	Int./Div.	K	T	Buy	03/19/20	K		
148. -MONDELEZ INTL INC	A	Int./Div.	J	T	Buy	04/14/20	J		
149. -O REILLY AUTOMOTIVE INC	A	Int./Div.	J	T	Buy	03/18/20	J		
150. -PARKER HANNIFIN CORP	A	Int./Div.	J	T	Buy	11/19/20	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 \$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)	(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)
151. -ROCKWELL AUTOMATION INC NEW	A	Int./Div.	J	T	Buy	03/18/20	J		
152. -SALESFORCE.COM INC	A	Int./Div.	J	T	Buy	11/18/20	J		
153. -SHERWIN WILLIAMS CO	A	Int./Div.	J	T	Buy	05/13/20	J		
154. -THERMO FISHER SCIENTIFIC INC	A	Int./Div.	J	T	Buy	04/14/20	J		
155. -TJX COS INC NEW	A	Int./Div.	J	T	Buy	06/09/20	J		
156. -UNITEDHEALTH GROUP INC	A	Int./Div.	K	T	Buy	04/13/20	K		
157. -VISA INC CL A	A	Int./Div.	K	T	Buy	11/18/20	K		

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

PART VII, LINES 100-103 REPRESENTS A 1/3 OWNERSHIP IN ACCOUNT.

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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
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One Columbus Circle, N.E.
Washington, D.C. 20544