

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) Lohier, Raymond J.	2. Court or Organization Second Circuit	3. Date of Report 08/09/2021
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
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. 2020	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. 2020	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 15 - 17, 2020	Philadelphia, PA, Washington, DC	Bar Association	Transportation, Meals, Hotel
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. 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)	(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)
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	A	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					
30. OGE Energy Corp.	C	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	
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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35. Corning Inc. (X)	A	Dividend	J	T					
36. Invesco Floating Rate Mutual Fund (X)	C	Dividend	M	T					
37. Charter Communications	A	Dividend	J	T					
38. Fidelity Contrafund	A	Interest	L	T					
39. Vanguard Target 2030	A	Interest	L	T					
40. Baird Funds Inc	B	Int./Div.	L	T	Buy	05/26/20	L		
41. Blackrock Funds II Multi Asset Income Portfolio	C	Int./Div.	L	T					
42. Center Coast Brookfield Midstream Focus fund Class Y	C	Dividend	K	T					
43. Eaton Vance global Macro Absolute Return Fund Class I	B	Int./Div.	K	T					
44. Federated Equity Funds Strategic Value Dividend Fund	B	Int./Div.	K	T					
45. Franklin Custodian Funds Income Service Adv CL AD	A	Int./Div.	K	T					
46. Goldman Sachs FInnancial Square Treasury Instrucments Fund	A	Int./Div.	J	T					
47. Goldman Sachs US Equity Dvd & Premium Fund Institutional SHS	A	Int./Div.	K	T	Buy	05/26/20	K		
48. John Hancock Funds III Global SHareholder Yield Class I	B	Dividend	K	T					
49. JPMorgan Income Builder Fund Class I	B	Dividend	L	T					
50. Neuberger Berman Equity Income Funds Institutional Class	A	Dividend	K	T					
51. Nuveen Investment Funds Real Asset Income Fund	B	Dividend	K	T					

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52. Principal Funds Inc. Global IDversifeid Income Fund	C	Int./Div.	L	T					
53. JPMorgan Treausrey Equity Income Fund	A	Int./Div.	K	T					
54. TCW Funds INc Emerging Markets Income Fund	A	Int./Div.	K	T					
55.									
56.									

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