

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/04/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	TRUSTEE	ACADEMY OF THE HOLY ANGELS SCHOOL, DEMAREST, NEW JERSEY
2.	TRUSTEE	WILLIAM NELSON CROMWELL FOUNDATION, NEW YORK, NEW YORK
3.		
4.		
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. 2016	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	\$27,255.00
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.	
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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 PREFERRED MONEY MARKET ACCOUNT(MMP)-SAVINGS PLUS	A	Interest	L	T					
2. CITIBANK CHECKING ACCOUNT	A	Interest	N	T					
3. CITI PERSONAL WEALTH MANAGEMENT A/C#C18-057734									
4. -CORPORATE BOND - GENERAL ELEC CAP CORP DTD-3/06/2008	C	Interest	M	T					
5. -NEW YORK N Y GENL OBLIG BDS-G-B/E DD 01/03/2008	C	Interest	L	T	Redeemed	08/01/16	L		
6. -NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	D	Interest	M	T					
7. - NY ST THRUWY AUTH ST PERS INCM TX REV BDS-B/E DD 9/10/08	D	Interest	M	T					
8. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA									
9. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
10. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
11. -COCA COLA ENTERPRISE INC NOTES-ZERO CPN CORPORATE BONDS	B	Interest	M	T					
12. -CASH ACCOUNT-CITIBANK BANK DEPOSIT PROGRAM	A	Interest	M	T					
13. CHARLES SCHWAB-CONTRIBUTORY IRA -HIGHTOWERS ADVISORS LLC									
14. -CASH ACCOUNT	A	Interest	J	T					
15. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
16. -VANGUARD BOND INDEX FUND	C	Dividend	L	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)
17. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
18. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T					
19. -PIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
20. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
21. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T					
22. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T					
23. -GUGGENHEIM EFT	B	Dividend	L	T					
24. CHARLES SCHWAB - HIGHTOWER SECURITIES, LLC									
25. -PRIME FUND CAPITAL RESERVES MONEY MARKET-FIDELITY GOVT MMKT CAPITAL	A	Dividend	N	T					
26. -GENERAL ELECTRIC CO	B	Dividend	K	T					
27. -PFIZER INC	B	Dividend	K	T					
28. NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	K	T					
29. -ALBANY N Y INDL DEV AGY CIVIC FAC REV-MUNICIPAL BOND	B	Interest	K	T					
30. -CALIFORNIA ST GO BDS SER. 2007 5%-MUNICIPAL BOND	B	Interest	K	T					
31. -NEW YORK ST URBAN DEV CORP REV SERVICE-MUNICIPAL BOND	C	Interest	L	T					
32. -METROPOLITAN TRANSN AUTH N Y REV FOR-MUNICIPAL BOND	B	Interest	L	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
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	U = Book Value				

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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)

33. -LONG ISLAND PWR AUTH N Y ELEC SYS REV-MUNICIPAL BOND	A	Interest	K	T	Redeemed	06/01/16	K		
34. -ALBANY N Y INDL DEV AGY CIVIC REV-MUNICIPAL BOND	B	Interest	K	T					
35. -NEW YORK N Y GO BDS SER. 2009 B-1-MUNICIPAL BOND	B	Interest	K	T					
36. -NEW YORK ST TWY AUTH GEN REV GEN REV BDS-MUNICIPAL BOND	C	Interest	M	T					
37. -NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	L	T					
38. -NEW YORK N Y GO BDS SER. FISCAL 2008 I-1-MUNICIPAL BOND	C	Interest	L	T					
39. -METROPOLITAN TRANSN AUTH N Y REV FOR-MUNICIPAL BONDS	B	Interest	K	T					
40. -NEW YORK ST TWY AUTH GEN REV GEN REV BDS-MUNICIPAL BOND	B	Interest	K	T					
41. -NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	K	T					
42. -CALVERT SHRT DURATIO INCOME CL C-MUTUAL FUNDS	A	Dividend	L	T					
43. -MAINSTAY HIGH YIELD CORP CLASS C-MUTUAL FUNDS	C	Dividend	L	T					
44. -MAINSTAY HIGH YIELD OPPORTUNITIES CL C-MUTUAL FUNDS	B	Dividend	K	T					
45. -OPPENHEIMER ROCHESTER LTD TERM NY MUNI C-MUTUAL FUNDS	C	Dividend	L	T					
46. -PRUDENTIAL SHORT TERM CORP BOND CL C-MUTUAL FUNDS	B	Dividend	L	T					
47. -VIRTUS LOW DURATION INCOME FUND CLASS C-MUTUAL FUNDS	A	Dividend	K	T					
48. -VIRTUS MULTI SECTOR SHORT TERM BOND CL T-MUTUAL FUNDS	C	Dividend	M	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 \$5,000,000	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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49. -WELLS FARGO SHORT TERM MUNI BOND FD C-MUTUAL FUNDS	A	Dividend	L	T					
50. -METROPOLITAN TRANSN AUTH REV FOR 4.00% 11/15/2026	B	Interest	K	T					
51. -NEW YORK NY GO BDS SER B 4.00% 08/01/2022	B	Interest	K	T					
52. - NEW YORK NY CITY MUN WTR FIN AUTH WTR 4.125% 06/15/2024	B	Interest	K	T					
53. -NEW YORK ST TWY AUTH ST PERS INCOME TAX 3.125% 03/15/2025	B	Interest	K	T					
54. CHARLES SCHWAB-INHERITED IRA									
55. -FIDELITY PURITAN FUND	A	Dividend	K	T					
56. MANUFACTURERS AND TRADERS TRUST COMPANY-CERTIFICATE OF DEPOSIT	B	Interest	L	T					

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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, LINE 56 NAME CHANGE OF BANK FORMERLY HUDSON CITY SAVINGS.

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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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Washington, D.C. 20544