

FINANCIAL DISCLOSURE REPORT INITIAL 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) RAGGI, REENA	2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR	3. Date of Report 05/08/2014
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 01/01/2013 to 12/31/2013
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	BROOKLYN LAW SCHOOL, BROOKLYN, NEW YORK
2.	TRUSTEE	ACADEMY OF THE HOLY ANGELS, DEMAREST, NEW JERSEY
3.	TRUSTEE	WILLIAM NELSON CROMWELL FOUNDATION, NEW YORK, NEW YORK
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	\$26,955.00
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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. UNIVERSITY OF CHICAGO LAW SCHOOL	04/17/2013-04/18/2013	CHICAGO, ILL	VISITING JURIST PROGRAM	TRAVEL, HOTEL AND MEAL
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 PREFERRED MONEY MARKET ACCOUNT(MMP)	A	Interest	L	T					
2. CITIBANK CHECKING ACCOUNT	A	Interest	M	T					
3. CITI NEW YORK TAX FREE RESERVE MMF - R	A	Interest	M	T					
4. CITI PERSONAL WEALTH MANAGEMENT A/C#C18-057734 - R									
5. -CORPORATE BOND - GENERAL ELEC CAP CORP DTD-3/06/2008	C	Interest	M	T					
6. -NEW YORK CITY G/O SER I DD 04/01/04 F/C 8/1/04	C	Interest	M	T					
7. -NEW YORK N Y GENL OBLIG BDS-G-B/E DD 01/03/2008	C	Interest	L	T					
8. -CERTIFICATE OF DEPOSIT-CITIBANK	B	Interest	L	T					
9. -NEW YORK CITY G/O SER M DD 4/28/05 F/C 10/1/05	B	Interest			Redeemed	04/01/13	L		
10. -NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	D	Interest	M	T					
11. - NY ST THRUWY AUTH ST PERS INCM TX REV BDS-B/E DD 9/10/08	D	Interest	M	T					
12. GREENWICH ST.EMPLOYEES FUND		None	J	U					
13. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA									
14. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	L	T					
15. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	L	T					
16. -COCA COLA ENTERPRISE INC NOTES-ZERO CPN CORPORATE BONDS	B	Interest	M	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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17. -BERKSHIRE HATHAWAY INC DTD 04/29/04 CORPORATE BONDS	C	Interest			Redeemed	10/15/13	L		
18. -CHECKING ACCOUNT-CITIBANK	A	Interest	M	T					
19. MORGAN STANLEY SMITH BARNEY IRA ROLLOVER ACCOUNT					Closed	01/31/13			
20. -MORGAN STANLEY BANK N.A.	A	Interest			Closed	01/31/13	J		
21. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend			Distributed	01/31/13	L		
22. -VANGUARD TOTAL BOND MARKET	C	Dividend			Distributed	01/31/13	L		
23. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend			Distributed	01/31/13	L		
24. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend			Distributed	01/31/13	L		
25. -PIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend			Distributed	01/31/13	L		
26. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend			Distributed	01/31/13	L		
27. -TEMPLETON GLOBAL BD FD A	B	Dividend			Distributed	01/31/13	K		
28. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend			Distributed	01/31/13	K		
29. MORGAN STANLEY SMITH BARNEY BROKERAGE ACCOUNT					Closed	01/31/13			
30. -MORGAN STANLEY BANK N.A.	A	Interest			Closed	01/31/13	K		
31. -NEW YORK N Y CITY TRANS FIN AUTH BLDG AID REV MUNI BONDS	B	Interest			Distributed	01/31/13	K		
32. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BOND	B	Interest			Distributed	01/31/13	K		
33. -NEVADA ST MUNI BD BK MUNI BOND	B	Interest			Distributed	01/31/13	K		

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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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34. -CALIFORNIA ST GENL OBLIG MUNI BONDS	B	Interest			Distributed	01/31/13	K		
35. -NEW YORK N Y GENL OBLIG SER-O MUNI BONDS	B	Interest			Distributed	01/31/13	L		
36. -NEW YORK ST URBAN DEV CORP EMPIRE ST DEV CORP SVC MUNIS	B	Interest			Distributed	01/31/13	L		
37. -NEW YORK N Y GENL OBLIG SER D MUNI BONDS	B	Interest			Distributed	01/31/13	L		
38. -LONG ISLAND PWR AUTH N Y ELEC SYS REV-A MUNI BONDS	B	Interest			Distributed	01/31/13	K		
39. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BONDS	B	Interest			Distributed	01/31/13	K		
40. -AMERICAN EXPRESS CREDIT CO CORPORATE BONDS	B	Interest			Distributed	01/31/13	K		
41. -GOLDMAN SACHS GROUP INC CORPORATE BONDS	B	Interest			Distributed	01/31/13	K		
42. -MORGAN STANLEY CORPORATE BONDS	B	Interest			Distributed	01/31/13	K		
43. -WACHOVIA CORP CORPORATE BONDS	B	Interest			Distributed	01/31/13	K		
44. -CALVERT SHORT DURATION INC C MUTUAL FUNDS	B	Dividend			Distributed	01/31/13	K		
45. -DRYDEN SH TRM CORP BD C MUTUAL FUNDS	B	Dividend			Distributed	01/31/13	K		
46. -VIRTUS MULTI-SECTOR S/T BD T MUTUAL FUNDS	B	Dividend			Distributed	01/31/13	K		
47. -WELLS FARGO SHT TRM MUNI BD C MUTUAL FUNDS	B	Dividend			Distributed	01/31/13	L		
48. -TRIBOROUGH BRDG & TUNL AUTH NY REVS SER-A	B	Interest			Distributed	01/31/13	K		
49. -OPPENHEIMER LTD TERM NY MUNI C	B	Interest			Distributed	01/31/13	K		
50. -NEW YORK CITY GEN OBLIG FISCAL SER-B SUBSER B-1	A	Interest			Distributed	01/31/13	K		

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51. -METROPOLITAN TRANS AUTH N Y TRANS REV SER-A	A	Interest			Distributed	01/31/13	K		
52. -NEW YORK N Y CITY MUN WTR FIN AUTH WTR & SWR SYS REV SER E	A	Interest			Distributed	11/15/13	K		
53. -CALVERT SHORT DURATION INC C	A	Interest			Distributed	01/31/13	K		
54. -MAINSTAY HIGH YIELD OPPORT	A	Interest			Distributed	01/31/13	K		
55. -OPPENHEIMER LTD TERM NY MUNI C	A	Interest			Distributed	01/31/13	K		
56. -PRUDENTIAL SHT TRM CORP BD C	A	Interest			Distributed	01/31/13	K		
57. -VIRTUS UNSIGHT SH INTM BD C	A	Interest			Distributed	01/31/13	K		
58. -VIRTUS MULTI SECT SHT TRM BD T	A	Interest			Distributed	01/31/13	K		
59. -WELLS FARGO ADV ST MUNI BD C	A	Interest			Distributed	01/31/13	K		
60. -GENERAL ELECTRIC CO	A	Int./Div.			Distributed	01/31/13	K		
61. -PFIZER INC	A	Int./Div.			Distributed	01/31/13	K		
62. -METROPOLITAN TRANS AUTH N Y TRANS REV SER-A	B	Interest			Distributed	01/31/13	L		
63. -NEW YORK STATE TWY AUTH REV SER-H	B	Interest			Distributed	01/31/13	M		
64. -MAINSTAY HI YLD CORP BOND C	C	Interest			Distributed	01/31/13	L		
65. -OPPENHEIMER LTD TERM NY MUNI C	B	Interest			Distributed	01/31/13	K		
66. -VIRTUS MULTI SECT SHT TRM BD T	B	Interest			Distributed	01/31/13	K		
67. -NEW YORK CITY TRANS FIN AUTH BLDG AID REV FISCAL S-I	B	Interest			Distributed	01/31/13	L		

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68. -NEW YORK CITY GENL OBLIG SER-I	B	Interest			Distributed	01/31/13	L		
69. -NEW YORK STATE THRUWAY AUTHORITY GENERAL REVENUE SERIES-I	B	Interest			Distributed	01/31/13	K		
70. -NEW YORK CITY TRANS FIN AUTH FUTURE TAX SECD REV-F SUBSER	B	Interest			Distributed	01/31/13	K		
71. MORGAN STANLEY TRADITIONAL INHERITED IRA	A	Interest		T	Distributed	01/13/13	K		
72. CHARLES SCHWAB-CONTRIBUTORY IRA -HIGHTOWERS ADVISORS LLC					Open	01/31/13			
73. -CASH ACCOUNT	A	Interest	J	T					
74. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
75. -VANGUARD BOND INDEX FUND	C	Dividend	L	T					
76. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
77. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T					
78. -PIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
79. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
80. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T					
81. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T					
82. CHARLES SCHWAB - HIGHTOWER SECURITIES, LLC					Open	01/31/13			
83. -PRIME FUND CAPITAL RESERVES MONEY MARKET	A	Dividend	M	T					

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84. -GENERAL ELECTRIC CO	B	Dividend	K	T					
85. -PFIZER INC	B	Dividend	K	T					
86. -GOLDMAN SACH GRP INC MTN BE 6%-CORPORATE BOND	B	Interest	K	T					
87. -MORGAN STANLEY SR NT 6%- CORPORATE BOND	B	Interest	K	T					
88. -WACHOVIA CORP NEW SUB NT 5.25%-CORPORATE BOND	B	Interest	K	T					
89. -NEW YORK N Y BDS SER. 2005 D- MUNICIPAL BOND	B	Interest	K	T					
90. -NEW YORK N Y GO BDS SER. 2005 O- MUNICIPAL BOND	B	Interest	K	T					
91. NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	K	T					
92. -ALBANY N Y INDL DEV AGY CIVIC FAC REV-MUNICIPAL BOND	A	Interest	K	T					
93. -NEVADA ST MUNI BD BK MUNI BOND	B	Interest			Redeemed	11/01/13	K		
94. -CALIFORNIA ST GO BDS SER. 2007 5%-MUNICIPAL BOND	B	Interest	K	T					
95. -NEW YORK NY GO BDS. 2005 O- MUNICIPAL BOND	A	Interest	J	T					
96. -NEW YORK ST URBAN DEV CORP REV SERVICE-MUNICIPAL BOND	C	Interest	L	T					
97. -NEW YORK N Y GO BDS SER. 2005 D- MUNICIPAL BOND	A	Interest	K	T					
98. -METROPOLITAN TRANSN AUTH N Y REV FOR-MUNICIPAL BOND	B	Interest	L	T					
99. -LONG ISLAND PWR AUTH N Y ELEC SYS REV-MUNICIPAL BOND	B	Interest	K	T					
100. -ALBANY N Y INDL DEV AGY CIVIC REV-MUNICIPAL BOND	B	Interest	K	T					

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05/08/2014

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)
101. -AMERICAN EXPRESS CREDIT CO CORPORATE BONDS	B	Interest			Redeemed	08/20/13	K		
102. -NEW YORK N Y GO BDS SER. 2009 B-1-MUNICIPAL BOND	B	Interest	K	T					
103. -NEW YORK ST TWY AUTH GEN REV GEN REV BDS-MUNICIPAL BOND	C	Interest	M	T					
104. -NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	L	T					
105. -TRIBOROUGH BRDG & TUNL AUTH NY REVS SER-A	B	Interest			Redeemed	11/15/13	K		
106. -NEW YORK N Y GO BDS SER. FISCAL 2008 I-1-MUNICIPAL BOND	C	Interest	L	T					
107. -METROPOLITAN TRANSN AUTH N Y REV FOR-MUNICIPAL BONDS	B	Interest	K	T					
108. -NEW YORK N Y CITY MUN WTR FIN AUTH WTR & SWR SYS REV SER E	A	Interest			Redeemed	06/17/13	K		
109. -NEW YORK ST TWY AUTH GEN REV GEN REV BDS-MUNICIPAL BOND	B	Interest	K	T					
110. -NEW YORK N Y CITY TRANSITIONAL FIN-MUNICIPAL BOND	B	Interest	K	T					
111. -CALVERT SHRT DURATIO INCOME CL C-MUTUAL FUNDS	A	Dividend	L	T					
112. -MAINSTAY HIGH YIELD CORP CLASS C-MUTUAL FUNDS	C	Dividend	L	T					
113. -MAINSTAY HIGH YIELD OPPORTUNITIES CL C-MUTUAL FUNDS	B	Dividend	K	T					
114. -OPPENHEIMER ROCHESTER LTD TERM NY MUNI C-MUTUAL FUNDS	C	Dividend	L	T					
115. -PRUDENTIAL SHORT TERM CORP BOND CL C-MUTUAL FUNDS	B	Dividend	L	T					
116. -VIRTUS LOW DURATION INCOME FUND CLASS C-MUTUAL FUNDS	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

05/08/2014

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. -VIRTUS MULTI SECTOR SHORT TERM BOND CL T-MUTUAL FUNDS	C	Dividend	M	T					
118. -WELLS FARGO SHORT TERM MUNI BOND FD C-MUTUAL FUNDS	A	Dividend	L	T					
119. CHARLES SCHWAB-INHERITED IRA	A	Interest	K	T	Open	01/31/13			

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		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

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

- 1)PART V11, PAGE 5, LINES#19-28: THIS ACCOUNT WAS CLOSED ON 01/31/2013 AND ALL OF THE HOLDINGS WERE TRANSFEREED TO A NEW INVESTMENT BROKERAGE ACCOUNT. LINES #75-84. THE NEW BROKERAGE ACCOUNT IS CHARLES SCHWAB.
- 2)PART V11, PAGES, LINES#71-81: THIS ACCOUNT WAS OPENED ON 01/31/2013 AND ALL OF THE ASSETS FROM THE MORGAN STANLEY SMITH BARNEY IRA ROLLOVER ACCOUNT, LINE#19 WERE TRANSFERRED TO THIS ACCOUNT.
- 3)PART V11, PAGES 5-8, LINES#29-70: THIS ACCOUNT WAS CLOSED ON 01/31/2013 AND ALL OF THE HOLDINGS WERE TRANSFEREED TO A NEW INVESTMENT BROKERAGE ACCOUNT. LINES #85-126. THE NEW BROKERAGE ACCOUNT IS CHARLES SCHWAB.
- 4)PART V11, PAGES 8-11, LINES#82-118: THIS IS THE NEW BROKERAGE ACCOUNT THAT WAS OPENED ON 01/31/2013. ALL ASSETS FROM THE MORGAN STANLEY BROKERAGE ACCOUNT WERE TRANSFERRED INTO THIS ACCOUNT.

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Name of Person Reporting

RAGGI, REENA

Date of Report

05/08/2014

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