

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

<b>1. Person Reporting</b> (last name, first, middle initial)  Lohier, Raymond J.	<b>2. Court or Organization</b>  Second Circuit	<b>3. Date of Report</b>  09/1/2015
<b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)  U.S. Circuit Judge	<b>5a. Report Type</b> (check appropriate type)  <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<b>6. Reporting Period</b>  01/01/2014 to 12/31/2014
	<b>5b.</b> <input type="checkbox"/> Amended Report	
<b>7. Chambers or Office Address</b>  Thurgood Marshall United States Courthouse 40 Foley Square, Room 2402 New York, NY 10007		
<p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p>		

## 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.	
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.		
2. 2014	New York University School of Law - Teaching	\$20,000.00
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. 2013	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. Federal Bar Council (Second Circuit)	February 9-15, 2014	Costa Rica	Bar Association/Panels/Educational Programs	Transportation, Lodging, Meals
2. University of Colorado Law School	Mar. 11-12, 2014	Boulder, CO	Educational/Moot Court	Transportation, Meals, Hotel
3. American Law Institute	May 18-21, 2014	Washington, DC	Bar Association	Transportation, Meals, Hotel
4. Securities and Exchange Commission	Sept. 26, 2014	Washington, DC	Panel/Speech	Transportation, Meal, Hotel
5. University of Berkeley School of Law (Boalt Hall)	Oct. 26-28, 2014	Berkeley, CA	Panels/Speeches	Transportation, Meals, Hotel

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6. Stanford University Law  
School

Oct. 29

Palo Alto, CA

Speeches/Educational

Transportation

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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. American Century Growth Stock Fund	A	Dividend	K	T					
2. American Century Ultra Stock Fund	A	Int./Div.	K	T					
3. American Century Retirement Growth Stock Fund	A	Int./Div.	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	Int./Div.	K	T					
7. Fidelity Magellan Fund	A	Int./Div.	M	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	C	Distribution	K	T					
15. Janus Global Technology Fund	A	Int./Div.	J	T					
16. Vanguard Growth Index Fund	A	Int./Div.	K	T					
17. Vanguard Small Cap Index Fund	A	Int./Div.	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	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	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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☐ 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)
18. Vanguard 500 Index Fund	A	Int./Div.	K	T					
19. Wachovia Roth IRA	A	Int./Div.	K	T					
20. TIAA Cref Retirement Fund	A	Interest	N	T					
21. T Rowe Price New Horizons Fund	C	Distribution	K	T					
22. T Rowe Price International Stock Fund	A	Int./Div.	K	T					
23. AOL Inc. common stock		None	J	T					
24. Vanguard Windsor 2 Fund	A	Int./Div.	K	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					

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

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	(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)
35. International Game Technology common stock		None	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.	A	Dividend	J	T					
41. Time Warner Inc., common stock	A	Dividend	J	T					
42. Trust #1		None	O	W					
43. Flrst Clearing LLC (X)	D	Dividend	K	T					
44.									
45.									

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

1) Part I and Part VII

"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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Washington, D.C. 20544