AO 10
Rev. 1/2022

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Lohier, Raymond J. | Second Circuit | 05/15/2022 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| U.S. Circuit Judge | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021 **to** 12/31/2021 |
| **7. Chambers or Office Address** | | |
| Thurgood Marshall United States Courthouse<br>40 Foley Square, Room 2403<br>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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 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. | Governing Board Member (Board of Overseers) | Harvard University |
| 6. | Power of Attorney | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements )*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

| | DATE | SOURCE AND TYPE | INCOME (yours, not spouse's) |
|---|---|---|---|
| 1. | | | |
| 2. | 2021 | 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.)*

| | DATE | SOURCE |
|---|---|---|
| 1. | | |
| 2. | 2021 | City University of New York - Salary |
| 3. | | |
| 4. | | |

## IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | Albuquerque Academy | November 3-7, 2021 | Albuquerque, NM | Civic Education for Public, Charter, and Private High School Students | Transportation, Meals, Hotel |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Lohier, Raymond J.** | 05/15/2022 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

| A | | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | | (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) | |
| 1. | American Century Growth Stock Fund | A | Dividend | K | T | | | | | |
| 2. | American Century Ultra Stock Fund | A | Int./Div. | M | T | | | | | |
| 3. | American Century Retirement Growth Stock Fund | D | Distribution | L | T | | | | | |
| 4. | IRA AIG American Pathway (Annuity) | A | Int./Div. | K | T | | | | | |
| 5. | Fidelity Asset MGR | A | None | J | T | | | | | |
| 6. | Fidelity Growth Co. (exchanged out for Fidelity Growth Co Pool) | | None | | | Closed | 01/08/21 | M | | |
| 7. | Fidelity Worldwide Fund ) (exchanged for Fidelity Growth Co Pool) | | None | | | Closed | 01/08/21 | K | | |
| 8. | Fidelity Growth Co Pool (See lines 6 & 7) | A | Int./Div. | N | T | Open | 01/08/21 | N | | |
| 9. | Fidelity Retirement Money Market | A | Interest | K | T | | | | | |
| 10. | Fidelity Investment Contract | A | Dividend | J | T | | | | | |
| 11. | Fidelity SIT MidCap Growth Fund | A | Int./Div. | K | T | | | | | |
| 12. | Fidelity Magellan | A | Int./Div. | N | T | | | | | |
| 13. | Janus 20 Fund/40 Fund D | A | Distribution | M | T | | | | | |
| 14. | Janus Global Technology Fund | A | Distribution | K | T | | | | | |
| 15. | Vanguard Growth Index Fund | B | Int./Div. | M | T | | | | | |
| 16. | Vanguard Small Cap Index Fund | B | Int./Div. | M | T | | | | | |
| 17. | Vanguard 500 Index Fund | B | Int./Div. | M | T | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 | |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | | |
| | U =Book Value | V =Other | W =Estimated | | | |

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☐ NONE *(No reportable income, assets, or transactions.)*

| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 18. Vanguard Total Stock Market ETF mutual fund (Roth IRA) | A | Int./Div. | L | T | | | | | |
| 19. TIAA Cref Retirement Fund | A | Interest | O | T | | | | | |
| 20. T Rowe Price New Horizons Fund | C | Distribution | N | T | | | | | |
| 21. T Rowe Price International Stock Fund | B | Int./Div. | K | T | | | | | |
| 22. Vanguard Windsor 2 Fund | B | Int./Div. | L | T | | | | | |
| 23. Bank of America Common Stock | A | Dividend | J | T | | | | | |
| 24. Becton Dickinson & Co. common stock | B | Int./Div. | L | T | | | | | |
| 25. Chevron common stock | B | Dividend | K | T | | | | | |
| 26. Cisco, Inc. common stock | A | Int./Div. | J | T | | | | | |
| 27. Dow Chemical common stock | A | Dividend | K | T | | | | | |
| 28. Honeywell International Common Stock | A | Dividend | K | T | | | | | |
| 29. Intel Corp. common stock | A | Dividend | J | T | | | | | |
| 30. Microsoft Corp. common Stock | B | Dividend | N | T | Sold (part) | 08/26/21 | K | E | |
| 31. OGE Energy Corp. | C | Int./Div. | L | T | | | | | |
| 32. Time Warner Inc., common stockI | A | Dividend | J | T | Merged (with line 33) | | J | | |
| 33. AT&T Inc. | A | Dividend | J | T | | 01/04/21 | J | | |
| 34. Trust #1 | | None | O | W | | | | | |

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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| 35. FIrst Clearing LLC (X) | E | Dividend | K | T | | | | | |
| 36. Apple Inc. (X) | B | Int./Div. | N | T | Sold (part) | 08/26/21 | K | E | |
| 37. Corning Inc. (X) | A | Dividend | K | T | | | | | |
| 38. Invesco Floating Rate Mutual Fund (X) | C | Dividend | M | T | | | | | |
| 39. Charter Communications | B | Int./Div. | J | T | | | | | |
| 40. Fidelity Contrafund | A | Interest | L | T | | | | | |
| 41. Vanguard Target 2030 (Fidelity) | A | Interest | L | T | | | | | |
| 42. Baird Funds Inc | B | Dividend | L | T | Buy (add'l) | 08/16/21 | J | | |
| 43. Blackrock Funds II Multi Asset Income Porftolio | C | Int./Div. | M | T | Buy (add'l) | 08/16/21 | J | | |
| 44. Center Coast Brooklield Midstream Focus fund Class Y | B | Dividend | K | T | Sold (part) | 08/16/21 | J | | |
| 45. Columbia Dividend Income Fund Institutional GSFTX | A | Int./Div. | K | T | Buy | 08/16/21 | K | | |
| 46. Columbia Dividend Income Fund Institutional GSFTX | A | Int./Div. | K | T | Buy | 08/17/21 | J | | |
| 47. Eaton Vance global Macro Absolute Return Fund Class I | B | Int./Div. | J | T | Sold (part) | 08/16/21 | J | | |
| 48. Eaton Vance global Macro Absolute Return Fund Class I | A | Dividend | | | Sold | 10/18/21 | K | | |
| 49. Federated Equity Funds Strategic Value Dividend Fund | B | Dividend | K | T | Sold (part) | 08/16/21 | J | A | |
| 50. Franklin Custodian Funds Income Service Adv CL AD | B | Int./Div. | K | T | Sold (part) | 08/16/21 | J | B | |
| 51. Goldman Sachs Treasury Financial Square Trearury Instruments Fund | A | Dividend | J | T | Sold (part) | 01/08/21 | J | A | |

| | | | | | |
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| 52. | Goldman Sachs Treasury Financial Square Trearury Instruments Fund | A | Dividend | J | T | Sold (part) | 07/09/21 | J | A | |
| 53. | Goldman Sachs Treasure Financial Square Trearury Instruments Fund | A | Dividend | J | T | Buy | 08/17/21 | J | | |
| 54. | Goldman Sachs US Equity Dvd & Premium Fund Institutional SHS | A | Int./Div. | L | T | Sold (part) | 08/16/21 | J | A | |
| 55. | John Hancock Funds III Global SHarehiolder Yield Class I | C | Dividend | K | T | Sold (part) | 08/16/21 | J | A | |
| 56. | JPMorgan Income Builder Fund Class I | C | Dividend | L | T | Sold (part) | 08/16/21 | J | A | |
| 57. | Neuberger Berman Equity Income Funds Institutional Class | A | Dividend | | | Sold | 08/16/21 | K | C | |
| 58. | Nuveen Investment Funds Real Asset Income Fund | B | Dividend | K | T | | | | | |
| 59. | Principal Funds Inc. Global IDversifeid Income Fund | C | Int./Div. | L | T | | | | | |
| 60. | PIMCO FDS Income FD Institutional Fund | B | Int./Div. | K | T | Buy | 08/16/21 | K | | |
| 61. | PGIM High Yield Fund Class Z | B | Int./Div. | K | T | Buy | 08/16/21 | K | | |
| 62. | JPMorgan Treausrey II Equity Income Fund | B | Int./Div. | K | T | | | | | |
| 63. | TCW Funds INc Emerging Markets Income Fund | B | Int./Div. | K | T | Buy (add'l) | 08/16/21 | J | | |
| 64. | | | | | | | | | | |
| 65. | | | | | | | | | | |

| | | | | | | |
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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.

In Lines 32 and 33, Time Warner was acquired by AT&T on June 15, 2018, but continued to appear on my statements - perhaps erronesuy -- as"Time Warner" until 2021. As of 2021 my statements showed ownership in AT&T.

| Name of Person Reporting | Date of Report |
|---|---|
| **Lohier, Raymond J.** | 05/15/2022 |

## 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
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544