AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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	03/10/2024
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 ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2022 **to** 12/31/2022
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 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	
7.	Board Member	Target Margin Theater

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.	2022	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.	2022	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.	American Law Institute	May 16-18, 2022	Washington, DC	Bar Association	Transportation, Meals, Hotel
2.	Harvard University (Board Member)	May 24-27, 2022	Cambridge, MA	Educational Activities; University Board meetings	Transportation, Meals, Hotel
3.	New York University School of Law (Board/Trustee)	August 18-22, 2022	Edinburgh, Scotland, UK	Law School Educational Activities and Trustee meetings	Transportaton, Meals, Hotel
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.	03/10/2024

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure		B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (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 Growth Co Pool	A	Int./Div.	N	T					
6.	Fidelity Retirement Money Market	A	Interest	K	T					
7.	Fidelity Investment Contract	A	Dividend	J	T					
8.	Fidelity SIT MidCap Growth Fund	A	Int./Div.	K	T					
9.	Fidelity Magellan	A	Int./Div.	N	T					
10.	Janus 20 Fund/40 Fund D	A	Distribution	M	T					
11.	Janus Global Technology Fund	A	Distribution	K	T					
12.	Vanguard Growth Index Fund	B	Int./Div.	M	T					
13.	Vanguard Small Cap Index Fund	B	Int./Div.	M	T					
14.	Vanguard 500 Index Fund	B	Int./Div.	M	T					
15.	Vanguard Total Stock Market ETF mutual fund (Roth IRA)	A	Int./Div.	L	T					
16.	TIAA Cref Retirement Fund	A	Interest	O	T					
17.	T Rowe Price New Horizons Fund	C	Distribution	N	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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Lohier, Raymond J.	03/10/2024

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18. T Rowe Price International Stock Fund	B	Int./Div.	K	T					
19. Vanguard Windsor 2 Fund	B	Int./Div.	L	T					
20. Bank of America Common Stock	A	Dividend	J	T					
21. Becton Dickinson & Co. common stock	B	Int./Div.			Sold	07/26/22	J	D	
22. Chevron common stock	B	Dividend	K	T					
23. Cisco, Inc. common stock	A	Int./Div.	J	T					
24. Dow Chemical common stock	A	Dividend	K	T					
25. Honeywell International Common Stock	A	Dividend	K	T					
26. Intel Corp. common stock	A	Dividend	J	T					
27. Microsoft Corp. common Stock	B	Dividend	N	T	Sold (part)	07/26/22	K	E	
28. OGE Energy Corp.	C	Int./Div.			Sold	07/26/22	J	D	
29. AT&T Inc.	A	Dividend			Sold	05/05/22	J	A	
30. Trust #1		None	O	W					
31. FIrst Clearing LLC (X)	E	Dividend	K	T					
32. Apple Inc. (X)	B	Int./Div.	N	T	Sold (part)	07/26/22	K	E	
33. Corning Inc. (X)	A	Dividend	K	T					
34. Invesco Floating Rate Mutual Fund (X)	C	Dividend	M	T	Sold (part)	12/27/22	J		

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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.	Charter Communications	B	Int./Div.			Sold	05/05/22	J	A	
36.	Fidelity Contrafund	A	Interest	L	T					
37.	Vanguard Target 2030 (Fidelity)	A	Interest	K	T					
38.	Baird Funds Inc	B	Dividend	L	T	Sold (part)	12/27/22	J	A	
39.	Blackrock Funds II Multi Asset Income Porftolio	C	Int./Div.	M	T	Sold (part)	12/22/22	J	A	
40.	Center Coast Brooklield Midstream Focus fund Class Y	B	Dividend	K	T	Sold (part)	05/03/22	J	D	
41.	Columbia Dividend Income Fund Institutional GSFTX	A	Int./Div.	K	T					
42.	Columbia Dividend Income Fund Institutional GSFTX	A	Int./Div.	K	T	Sold (part)	12/22/22	J	A	
43.	Eaton Vance global Macro Absolute Return Fund Class I	B	Int./Div.	J	T					
44.	Eaton Vance global Macro Absolute Return Fund Class I	A	Dividend	J	T					
45.	Federated Hermes Equity Funds Strategic Value Dividend Fund	B	Dividend	K	T	Sold (part)	12/22/22	J		
46.	Franklin Custodian Funds Income Service Adv CL AD	B	Int./Div.	K	T	Sold (part)	12/22/22	J	A	
47.	Goldman Sachs Treasury Financial Square Trearury Instruments Fund	A	Dividend	J	T					
48.	Goldman Sachs Treasury Financial Square Trearury Instruments Fund	A	Dividend	J	T					
49.	Goldman Sachs Treasure Financial Square Trearury Instruments Fund	A	Dividend	J	T					
50.	Goldman Sachs US Equity Dvd & Premium Fund Institutional SHS	A	Int./Div.	L	T					
51.	John Hancock Funds III Global SHarehiolder Yield Class I	C	Dividend	K	T	Sold (part)	12/22/22	J	A	

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52.	JPMorgan Income Builder Fund Class I	C	Dividend	L	T	Sold (part)	12/22/22	J	A	
53.	Neuberger Berman Equity Income Funds Institutional Class	A	Dividend	J	T				C	
54.	Nuveen Investment Funds Real Asset Income Fund	B	Dividend	K	T					
55.	Principal Funds Inc. Global IDversifeid Income Fund	C	Int./Div.	L	T					
56.	PIMCO FDS Income FD Institutional Fund	B	Int./Div.	K	T	Sold (part)	12/22/22	J	A	
57.	PGIM High Yield Fund Class Z	B	Int./Div.	K	T					
58.	JPMorgan Treausrey II Equity Income Fund	B	Int./Div.	K	T	Sold (part)	12/22/22	J	A	
59.	TCW Funds INc Emerging Markets Income Fund	B	Int./Div.	K	T	Sold (part)	12/22/22	J	A	
60.	Embecta Corp	A	Int./Div.	J	T					
61.										

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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.

The original form contained an entry for an investment in "Fidelity Asset MGR." That should have referred more specifically to Fidelity Asset MGR 70%. This investment was exchanged out on 7/29/2015 for Vanguard Target 2030 but inadvertently left on the list of investments.

Name of Person Reporting	Date of Report
Lohier, Raymond J.	03/10/2024

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