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
RAGGI, REENA	U.S. COURT OF APPEALS, 2ND CIR	05/02/2022
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**
UNITED STATES CIRCUIT JUDGE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021

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 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	WILLIAM NELSON CROMWELL FOUNDATION, NEW YORK, NEW YORK
2.	EMPLOYEE-PROFESSOR	NEW YORK UNIVERSITY LAW SCHOOL
3.	SECRETARY	PIERREPONT STREET TENANTS ASSOCIATION, BROOKLYN, NEW YORK
4.		
5.		

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.	2021	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	$30,000.00
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
1.	2021	SEYFARTH SHAW LLP LAW OFFICE W-2
2.		
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.					
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
RAGGI, REENA	05/02/2022

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.	CITIBANK CHECKING ACCOUNT	A	Interest	O	T					
2.	CITI PERSONAL WEALTH MANAGEMENT									
3.	-GOLDMAN SACHS BK USA NEW YORK CTF DEP ACT/365 2.40% 06/19/19	B	Interest	M	T					
4.	CITI PERSONAL WEALTH RETIREMENT PLANS-IRA									
5.	-PUTNAM SHORT DURATION BOND FUND CLASS A	D	Interest	O	T					
6.	-CASH ACCOUNT-CITIBANK BANK DEPOSIT PROGRAM	A	Interest	M	T					
7.	CHARLES SCHWAB-CONTRIBUTORY IRA-HIGHTOWER ADVISORS LLC									
8.	-CASH ACCOUNT	A	Interest	K	T					
9.	-ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
10.	-VANGUARD BOND INDEX FUND	C	Dividend	L	T					
11.	-CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
12.	-DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T					
13.	-PIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
14.	-VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
15.	-TEMPLETON GLOBAL BD FD A	B	Dividend	K	T					
16.	-TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T					
17.	-GUGGENHEIM S&P 500 EQUAL EFT	B	Dividend	L	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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18. NATIONAL FINANCIAL SERVICES LLC-HIGHTOWER SECURITIES, LLC									
19. -FIDELITY GOVT MMKT CAPITAL RESERVES	A	Dividend	M	T					
20. -FIEDELITY NY MUNI MONEY MARKET	A	Dividend	N	T					
21. -GENERAL ELECTRIC CO	A	Dividend	J	T					
22. -PFIZER INC	B	Dividend	K	T					
23. -VIATRIS INC COM	B	Distribution	J	T					
24. -METROPOLITAN TRANSN AUTH N Y REV FOR-11/15/2026	B	Interest			Redeemed	11/15/21	K		
25. -METROPOLITAN TRANSN AUTH N Y REV FOR-11/15/2023	B	Interest			Redeemed	11/15/21	K		
26. -METROPOLITAN TRANSN AUTH NY REV TRANS-11/15/2028	B	Interest			Redeemed	11/15/21	K		
27. -NEW YORK ST TWY AUTH GEN REV GEN REV-01/01/2032	B	Interest	K	T					
28. -NEW YORK N Y GO BDS SER B 4.00% 08/01/2022	A	Interest	K	T					
29. -NEW YORK ST DORM AUTH REVS NON ST 3.00% 07/01/2028	B	Interest	L	T					
30. -ALBANY CNTY N Y ARPT AUTH ARPT REV REV 3.00% 12/15/2028	B	Interest	L	T					
31. -MONROE CNTY N Y PUB IMPT SERIAL BDS 3.00% 06/01/2029	B	Interest	L	T					
32. -METROPOLITAN TRANSN AUTH N Y DEDICATED 11/15/2030	A	Interest	K	T					
33. -TRIBOROUGH BRDG & TUNL AUTH N Y REVS 11/15/2030	A	Interest	K	T					
34. -NEW YORK N Y CITY TRANSITIONAL FIN 5.00% 05/01/2034	B	Interest	K	T					

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35. -METROPOLITAN TRANSN AUTH N Y REV REF 4.00% 11/15/2034	B	Interest	L	T					
36. -HUDSON YDS INFRASTRUCTURE CIRO 5.00% 02/15/2037	B	Interest	L	T					
37. -CALVERT SHORT DURATION INC CL A-MUTUAL FUNDS	B	Dividend	L	T					
38. -INVESCO ROCHESTER LMTD TERM MUNI A-MUTUAL FUND	C	Dividend	L	T					
39. -MAINSTAY MACKAY HIGH YIELD CORP BD CL A-MUTUAL FUND	C	Dividend	L	T					
40. -PGIM SHORT-TERM CORP BOND CL A-MUTUAL FUND	B	Dividend	L	T					
41. -PGIM SHORT-TERM CORP BOND CL C-MUTUAL FUND	A	Dividend			Merged (with line 40)	02/12/21	K		
42. -VIRTUS NEWFLEET LOW DUR CORE PLUS BD A-MUTUAL FUND	A	Dividend	K	T					
43. -VIRTUS NEWFLEET LOW DUR CORE PLUS BD C-MUTUAL FUND	A	Dividend			Merged (with line 42)	03/10/21	K		
44. -VIRTUS NEWFLEET MLT SECTOR SH TERM BD A-MUTUAL FUND	B	Dividend	M	T					
45. -VIRTUS NEWFLEET MLT SECTOR SH TERM BD C1-MUTUAL FUND	B	Dividend			Merged (with line 44)	03/10/21	K		
46. -WELLS FARGO SHORT TERM MUNI BD A-MUTUAL FUND	A	Dividend			Merged (with line 48)	01/01/21			
47. -WELLS FARGO SHORT TERM MUNI BOND FUND C-MUTUAL FUND	A	Dividend			Merged (with line 48)	01/01/21			
48. -ALLSPRING SHORT TERM MUNI BOND FUND A	A	Dividend	L	T					
49. CHARLES SCHWAB ONE ACCOUNT	A	Interest	L	T					
50. CHARLES SCHWAB-INHERITED IRA									
51. -FIDELITY PURITAN FUND	A	Dividend	K	T					

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52. MANUFACTURES AND TRADERS TRUST COMPANY-CERTIFICATE OF DEPOSIT	B	Interest			Redeemed	04/26/21	K		
53. UBS FINANCIAL SERVICES INC IRA ROLLOVER									
54. -UBS BANK USA DEP ACCT	A	Interest	K	T					
55. -FLEXSHARES MORNINGSTAR GLOBAL UPSTREAM NATURAL	A	Int./Div.	J	T	Buy	12/03/21	J		
56. -ISHARES CORE S&P SMALL-CAP ETF	A	Interest	K	T					
57. -ISHARES RUSSELL MID-CAP VALUE ETF	A	Int./Div.	K	T	Buy	04/23/21	K		
58. -ISHARES MSCI EAFE ETF	B	Interest	K	T					
59. -ISHARES MSCI EAFE SMALL CAP ETF	A	Interest			Sold	07/16/21	K	A	
60. -ISHARES CORE MSCI EAFE ETF	B	Interest	K	T					
61. -ISHARES CORE MSCI EMERGING MARKETS ETF	B	Interest	L	T					
62. 0ISHARES CURRENCT HEDGED MISC JAPAN ETF	A	Int./Div.	J	T	Buy	05/21/21	J		
63. -VANGUARD VALUE ETF	B	Interest	L	T					
64. -VANGUARD MID-CAP ETF	B	Interest			Sold	05/19/21	J	A	
65. -VANGUARD GROWTH ETF	B	Interest	L	T					
66. -VANGUARD TOTAL WORLD STK ETF	A	Interest			Sold	01/19/21	K	B	
67. -VANGUARD RUSSELL 1000 GROWTH ETF	A	Int./Div.	J	T	Buy	10/22/21	J		

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68. -VANGUARD RUSSELL 1000 VALUE	A	Int./Div.	K	T	Buy	07/16/21	K		
69. -VANGUARD RUSSELL 2000 ETF	A	Interest	K	T					
70. -WISDOMTREE JAPAN HEDGED EQUITY FUND ETF	A	Int./Div.	J	T	Buy	05/21/21	J		
71. -ISHARES IBOXX INVT GRADE CORPORATE BOND ETF	A	Interest			Sold	02/21/21	J	B	
72. -ISHARES 20 YEAR TREAS BOND ETF	A	Interest	K	T	Buy (add'l)	08/20/21	J		
73. -ISHARES BROAD USD INVT GRADE CORPORATE BOND ETF	B	Interest	L	T	Buy (add'l)	02/12/21	J		
74. -ISHARES JP MORGAN USD EMERGING MARKETS BOND ETF	B	Interest	J	T					
75. -ISHARES BROAD USD HIGH YIELD BOND ETF	A	Interest	K	T	Buy (add'l)	01/19/21	J		
76. -SCHWAB US TIPS ETF	A	Interest	J	T					
77. -VANECK VECTORS JP MORGAN EM LOCAL CURRENCY BOND ETF	A	Interest	J	T					
78. UBS FINANCIAL SERVICES INC IRA ROLLOVER									
79. -UBS BANK USA DEP ACCT	A	Interest	J	T					
80. -ESCROW LB PAR VALUE	A	Int./Div.	J	T					
81. -MAN-AHL DIVERSIFIED I CLASS B	A	Int./Div.	L	T					
82. UBS FINANCIAL SERVICES INC TRADITIONAL IRA									
83. -UBS BANK USA DEP ACCT	A	Interest	J	T					
84. -INVESCO OPPENHEIMER S&P SMALLCAP 600 REV ETF	A	Int./Div.	K	T					

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85. -ISHARES CORE S&P SMALL-CAP ETF	A	Int./Div.	L	T					
86. -ISHARES GLOBAL ENERGY ETF	A	Int./Div.	J	T					
87. -ISHARES CORE MSCI EAFE ETF	C	Int./Div.	L	T					
88. -ISHARES CORE MSCI EMERGING MARKETS ETF	B	Int./Div.	L	T					
89. -SCHWAB FUNDAMENTAL INTL LARGE CO INDEX EFT	B	Int./Div.	K	T					
90. -FIRST EAGLE OVERSEAS FUND CLASS I	A	Int./Div.	L	T					
91. -THE GABELLI GOLD FUND INC CLASSI	A	Int./Div.	J	T					
92. -UBS US QUALITY GROWTH	B	Int./Div.	O	T	Buy	05/18/21	N		
93. -VAN ECK GLOBAL HARD ASSETS CL Y	A	Int./Div.	J	T					
94. -MEDALLION BK UT US RATE 2.00% MAT 04/06/2021	A	Interest			Matured	04/06/21	L		
95. -ISHARES SHORT-TERM 1-5 CREDIT CORPORATE BOND ETF	B	Int./Div.	K	T					
96. -ISHARES IBONDS DEC 2021 TERM CORPORATE ETF	A	Int./Div.	K	T					
97. -DOUBLE LINE TOTAL RETURN FUND INSTL	C	Int./Div.	L	T					
98. -JPMORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS 1	B	Int./Div.	L	T					
99. -LORD ABBETT BOND DEBENTURE FUND CLASS F	B	Int./Div.	K	T					
100. -METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS 1	B	Int./Div.	K	T					
101. -PIMCO TOTAL RETURN FUND CLASS 12	B	Int./Div.	K	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
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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		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
RAGGI, REENA	05/02/2022

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)	
102. MERRILL LYNCH-RAMIREZ WEALTH MANAGEMENT									
103. -CASH/MONEY ACCOUNTS - BANK OF AMERICA	A	Interest	J	T					
104. -GNA P001381M	A	Interest	J	T					
105. -GNM P0014893M	A	Interest	J	T					
106. UBS FINANCIAL SERVICES INC ACCOUNT									
107. -UBS BANK USA DEP ACCT/MMF YIELD	A	Interest	M	T					
108. -ISHARES RUSSELL 2000 ETF	A	Interest	J	T					
109. -ISHARES CORE S&P SMALL-CAP ETF	B	Int./Div.	M	T	Buy	11/17/21	M		
110. -ISHARES RUSSELL 1000 VALUE ETF	A	Interest	K	T					
111. -ISHARES RUSSELL 1000 GROWTH ETF	A	Interest	K	T					
112. -ISHARES CORE MSCI EAFE ETF	A	Interest	N	T	Buy (add'l)	11/17/21	M		
113. -ISHARES CORE MSCI EMERGING MARKETS ETF	C	Int./Div.	M	T	Buy	11/17/21	M		
114. -BNY MELLON SMALL/MID CAP GROWTH FUND	B	Int./Div.	M	T	Buy	11/17/21	M		
115. -CALAMOS EVOLVING WORLD GROWTH FUND CLASS 1	A	Int./Div.	M	T	Buy	11/17/21	M		
116. -FIRST EAGLE OVERSEAS FUND CLASS 1	D	Int./Div.	N	T	Buy	11/17/21	N		
117. -UBS US DIVIDEND RULER PRICE FUND CLASS P	C	Int./Div.	N	T	Buy	11/17/21	N		
118. -UBS US QUALITY GROWTH	A	Int./Div.	N	T	Buy	11/17/21	N		

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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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RAGGI, REENA	05/02/2022

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.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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119. -BMO HARRIS BK US CERT OF DEPOSIT MATURE 03/31/2021	A	Interest			Matured	03/31/21	M		
120. -VALLEY NATL BANK US CERT OF DEPOSIT MATURE 04/02/2021	A	Interest			Matured	04/02/21	M		
121. -MORGAN STANLEY PRV US CERT OF DEPOSIT MATURE 04/12/2021	A	Interest			Matured	04/14/21	K		
122. -TCF NATIONAL BANK SD US CERT OF DEPOSIT MATURE 04/08/2021	A	Interest			Matured	04/08/21	M		
123. -PINNACLE BANK TN US CERT OF DEPOSIT MATURE 04/21/2021	A	Interest			Matured	04/21/21	M		
124. -COMENITY CAP BK UT US CERT OF DEPOSIT MATURE 04/30/2021	A	Interest			Matured	04/30/21	K		
125. -STERNS BANK NA MN US CERT OF DEPOSIT MATURE 05/28/2021	A	Interest			Matured	05/28/21	M		
126. UBS FINANCIAL SERVICES INC TRADITIONAL IRA									
127. -UBS BANK USA DEP ACCOUNT	A	Interest	J	T					
128. -ACCENTURE PLC IRELAND CL A	A	Int./Div.			Sold	05/14/21	J	B	
129. -ADOBE INC	A	Int./Div.			Sold	05/14/21	J	B	
130. -ALPHABET INC CL A	A	Int./Div.			Sold	05/14/21	K	D	
131. -AMAZON.COM INC	A	Int./Div.			Sold	05/14/21	K	D	
132. -AMERICAN TOWER CORP REIT	A	Int./Div.			Sold	05/14/21	J	A	
133. -AMERIPRISE FINANCIAL INC	A	Int./Div.			Sold	05/14/21	J	B	
134. -APPLE INC	A	Int./Div.			Sold	05/14/21	K	D	
135. -COMCAST CORP NEW CL A	A	Int./Div.			Sold	03/10/21	J	A	

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Name of Person Reporting	Date of Report
RAGGI, REENA	05/02/2022

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.)*

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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 (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)	
136. -COSTCO WHOLESALE CORP	A	Int./Div.			Sold	05/14/21	J	D	
137. -DANAHER CORP	A	Int./Div.			Sold	01/27/21	J	A	
138. -DOLLAR GEN CORP NEW	A	Int./Div.			Sold	05/14/21	J	C	
139. -FACEBOOK INC CL A	A	Int./Div.			Sold	05/14/21	K	C	
140. -FIEDELITY NATL INFORMATION SVCS	A	Int./Div.			Sold	05/14/21	J	A	
141. -HOME DEPOT INC	A	Int./Div.			Sold	05/14/21	J	C	
142. -HONEYWELL INTL INC	A	Int./Div.			Sold	05/14/21	J	A	
143. -INTERCONTINENTAL EXCHANGE GROUP	A	Int./Div.			Sold	05/14/21	J	C	
144. -LAUDER ESTEE COS CL A	A	Int./Div.			Sold	05/14/21	J	D	
145. -LOWES COMPANIES INC	A	Int./Div.			Sold	05/14/21	J	C	
146. -MEDTRONICS PLC	A	Int./Div.			Sold	05/14/21	J	C	
147. -MICROSOFT CORP	A	Int./Div.			Sold	05/14/21	K	E	
148. -MONDELEZ INTL INC	A	Int./Div.			Sold	02/01/21	J	A	
149. -O REILLY AUTOMOTIVE INC	A	Int./Div.			Sold	05/14/21	J	A	
150. -PARKER HANNIFIN CORP	A	Int./Div.			Sold	05/14/21	J	A	
151. -ROCKWELL AUTOMATION INC NEW	A	Int./Div.			Sold	05/14/21	J	C	
152. -SALESFORCE.COM INC	A	Int./Div.			Sold	05/14/21	J	D	

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	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	
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RAGGI, REENA	05/02/2022

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.)*

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153. -SHERWIN WILLIAMS CO	A	Int./Div.			Sold	05/14/21	J	C	
154. -THERMO FISHER SCIENTIFIC INC	A	Int./Div.			Sold	03/10/21	J	A	
155. -TJX COS INC NEW	A	Int./Div.			Sold	05/14/21	J	A	
156. -UNITEDHEALTH GROUP INC	A	Int./Div.			Sold	05/14/21	K	D	
157. -VISA INC CL A	A	Int./Div.			Sold	05/14/21	K	A	
158. UBS FINANCIAL SERVICES INC-MANAGED BY HV ETF									
159. -UBS INSURED SWEEP PROGRAM	A	Interest	K	T					
160. -INVESCO SENIOR LN ETF	A	Int./Div.	K	T	Buy	11/17/21	K		
161. -INVESCO NATL AMT FREE MUNICIPAL BOND ETF	C	Int./Div.	M	T	Buy	11/17/21	M		
162. -ISHARES 20 YEAR TREAS BIND ETF	A	Int./Div.	K	T	Buy	11/17/21	K		
163. -ISHARES NATL MUNI BOND ETF	D	Int./Div.	N	T	Buy	11/17/21	N		
164. -ISHARES JP MORGAN USD EMERGING MARKETS BOND ETF	B	Int./Div.	K	T	Buy	11/17/21	K		
165. -ISHARES SHORT-TERM NATL MUNI BOND ETF	A	Int./Div.	L	T	Buy	11/17/21	L		
166. -ISHARES CMBS ETF	A	Int./Div.	J	T	Buy	11/17/21	J		
167. -ISJARES BROAD USD HIGH YIELD BOND ETF	B	Int./Div.	K	T	Buy	11/17/21	K		
168. -VANGUARD INTER TERM TREAS ETF	A	Int./Div.	L	T	Buy	11/17/21	L		
169. -VANGUARD SHORT-TERM TREAS ETF	A	Int./Div.	K	T	Buy	11/17/21	K		

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	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	
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170. UBS FINANCIAL SERVICES-UBS AM MUNI FUND									
171. -UBS INSURED SWEEP PROGRAM	A	Interest	K	T					
172. -ST DORM AUTH SALES TAX R A-GRO RV-03/15/22	A	Interest	K	T	Buy	09/23/21	K		
173. -DORMITORY AUTH OF NY ST-0701/42	C	Interest	L	T	Buy	11/26/21	L		
174. -ROCHESTER NY GENL OBLIG SR II NTS-08/03/22	A	Interest	L	T	Buy	07/28/21	L		
175. -OYSTER BAY TOWN-08/26/22	B	Interest	L	T	Buy	11/03/21	L		
176. -METROPOLITAN TRANSN AUTH-09/01/22	B	Interest	K	T	Buy	10/04/21	K		
177. -METROPOLITAN TRANSN AUTH-11/15/42	B	Interest	K	T	Buy	06/22/21	K		
178. -METROPOLITAN TRANSN AUTH-11/15/22	A	Interest	K	T	Buy	06/09/21	K		
179. -TRIBOROUGH BRDG&TUNL NY-11/15/22	B	Interest	K	T	Buy	06/24/21	K		
180. -METROPOLITAN TRANSN AUTH-11/15/26	A	Interest	K	T	Buy	06/23/21	K		
181. -MONROE CNTY NY INDL DEV-07/01/24	B	Interest	K	T	Buy	10/07/21	K		
182. -NEW YORK CITY TRANSIT-05/01/25	A	Interest	J	T	Buy	06/15/21	J		
183. -PORT AUTH NY & NJ-05/01/25	A	Interest	K	T	Buy	06/17/21	K		
184. -ST DORM AUTH SALES TAX RA-GRO RV-03/15/26	B	Interest	K	T	Buy	08/04/21	K		
185. -NEW YORK NY CITY TRANSIT-11/01/26	B	Interest	K	T	Buy	08/05/21	K		
186. -NY ST DORM AUTH SALES-03/15/27	B	Interest	K	T	Buy	06/28/21	K		

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187. -NEW YORK ST ENVIRON FACS-06/15/27	B	Interest	K	T	Buy	09/13/21	K		
188. -NEW YORK ST DORM AUTH RE-07/01/27	B	Interest	L	T	Buy	10/26/21	L		
189. -NEW YORK NY GO BDS-04/01/28	B	Interest	K	T	Buy	07/22/21	K		
190. -LONG ISLAND POWER AUTHORITY-09/01/28	B	Interest	K	T	Buy	09/15/21	K		
191. -TRIBOROUGH BRDG & TUNL AUTH-11/01/28	A	Interest	J	T	Buy	10/22/21	J		
192. -TRIBOROUGH BRDG & TUNL AUTH-11/15/28	B	Interest	K	T	Buy	07/23/21	K		
193. -NEW YORK ST DORM AUTH-07/01/29	B	Interest	L	T	Buy	11/22/21	L		
194. -NEW YORK ST ENVIRON FACS-06/15/30	B	Interest	K	T	Buy	06/16/21	K		
195. -NEW YORK CITY TRANS FINA-07/15/30	B	Interest	K	T	Buy	07/16/21	K		
196. -NASSAU NY INTERIM FIN AUTH-11/15/30	B	Interest	K	T	Buy	06/14/21	K		
197. -NEW YORK ST DORM AUTH-07/01/32	A	Interest	J	T	Buy	07/14/21	J		
198. -NEW YORK CITY TRANS FINA-07/15/33	A	Interest	K	T	Buy	09/17/21	K		
199. -NEW YORK ST DORM AUTH ST 2021-03/15/34	A	Interest	J	T	Buy	07/21/21	J		
200. -TRIBOROUGH BRDG & TUNL AUTH-05/15/38	B	Interest	K	T	Buy	11/02/21	K		
201. -NEW YORK N Y CITY MUNI-06/15/41	B	Interest	K	T	Buy	06/10/21	K		
202. -NEW YORK N Y GO BDS-03/01/43	A	Interest	J	T	Buy	06/15/21	J		
203. -NEW YORK ST URBAN DEV CO-03/15/44	B	Interest	K	T	Buy	11/22/21	K		

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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)	
204. -NEW YORK NY CITY MUN WT-06/15/44	C	Interest	L	T	Buy	11/23/21	L		
205. -NEW YORK NY CITY TRANSIT-08/01/45	B	Interest	K	T	Buy	10/15/21	K		
206. -TRIBOROUGH BRDG & TUNL AUTH-05/15/46	B	Interest	K	T	Buy	08/13/21	K		
207.									
208.									
209.									
210.									
211.									
212.									
213.									
214.									
215.									
216.									
217.									
218.									
219.									
220.									

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		

Name of Person Reporting	Date of Report
RAGGI, REENA	05/02/2022

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

PART VII, LINES 102-105 REPRESENTS A 1/3 OWNERSHIP IN ACCOUNT.

Name of Person Reporting	Date of Report
RAGGI, REENA	05/02/2022

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/ 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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