AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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	05/13/2013

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	01/01/2012 to 12/31/2012

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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	TRUSTEE	BROOKLYN LAW SCHOOL, BROOKLYN, NEW YOK
2.	TRUSTEE	ACADEMY OF THE HOLY ANGELS, BROOKLYN, NEW YORK
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.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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RAGGI, REENA	05/13/2013

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. 2012	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 NORTH CAROLINA LAW SCHOOL	02/24/2012-02/26/2012	CHAPEL HILL, NC	MOOT COURT COMPETITION	TRAVEL, HOTEL AND MEAL
2.	FEDERAL BAR COUNCIL	09/21/2012-09/23/2012	SKYTOP, PA	FALL MEETING	TRAVEL, HOTEL AND MEALS
3.	HARVARD LAW SCHOOL	11/15/2012-11/16/2012	CAMBRIDGE, MA	MOOT COURT COMPETITION	TRAVEL ,HOTEL AND MEALS
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.			

Name of Person Reporting	Date of Report
RAGGI, REENA	05/13/2013

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 (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)	D. (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 [redacted]									
5.	-CORPORATE BOND - GENERAL ELEC CAP CORP DTD-3/06/2008	C	Interest	L	T					
6.	-NEW YORK CITY G/O SER I DD 04/01/04 [redacted]	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	B	Interest	L	T					
9.	-NEW YORK CITY G/O SER M DD 4/28/05 [redacted]	C	Interest	M	T					
10.	-NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	C	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	M	T					
15.	-GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
16.	-COCA COLA ENETRPRISE INC NOTES-ZERO CPN CORPORATE BONDS	D	Interest	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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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 (1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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)
17. -BERKSHIRE HATHAWAY INC DTD CORPORATE BONDS	D	Interest	M	T					
18. -CHECKING ACCOUNT	A	Interest	L	T					
19. MORGAN STANLEY SMITH BARNEY IRA ROLLOVER ACCOUNT									
20. -MORGANSTANLEY BANK N.A.	A	Interest	L	T					
21. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
22. -VANGUARD TOTAL BOND MARKET	C	Dividend	L	T					
23. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
24. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T					
25. -PRIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
26. -VIRTUS MILTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
27. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T					
28. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T					
29. MORGAN STANLEY SMITH BARNEY BROKERAGE ACCOUNT									
30. -MORGAN STANLEY BANK N.A.	A	Interest	K	T					
31. -NEW YORK N Y CITY TRANS FIN AUTH BLDG AID REV MUNI BONDS	B	Interest	K	T					
32. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BOND	B	Interest	K	T					
33. -NEVADA ST MUNI BD BK MUNI BOND	B	Interest	K	T					

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	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	
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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)	D. (5) Identity of buyer/seller (if private transaction)
34.	-CALIFORNIA ST GENL OBLIG MUNI BONDS	B	Interest	K	T					
35.	-NEW YORK N T GENL OBLIG SER-O MUNI BONDS	B	Interest	L	T					
36.	-NEW YORK ST URBAN DEV CORP EMP IRE ST DEV CORP SVC MUNIS	B	Interest	L	T					
37.	-NEW YORK N Y GENL OBLIG SER D MUNI BONDS	B	Interest	L	T					
38.	-LONG ISLAND PWR AUTH N Y ELEC SYS REV-A MUNI BONDS	B	Interest	K	T					
39.	-ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BONDS	B	Interest	K	T					
40.	-AMERICAN EXPRESS CREDIT CO CORPORATE BONDS	B	Interest	K	T					
41.	-GOLDMAN SACHS GROUP INC CORPORATE BONDS	B	Interest	K	T					
42.	-MORGAN STANLEY CORPORATE BONDS	B	Interest	K	T					
43.	-WACHOVIA CORP CORPORATE BONDS	B	Interest	K	T					
44.	-CALVERT SHORT DURATION INC C MUTUAL FUNDS	B	Dividend	K	T					
45.	-DRYDEN SH TRM CORP BD C MUTUAL FUNDS	B	Dividend	K	T					
46.	-VIRTUS MULTI-SECTOR S/T BD T MUTUAL FUNDS	B	Dividend	K	T					
47.	-WELLFS FARGO SHT TRM MUNI BD C MUTUAL FUNDS	B	Dividend	L	T					
48.	-TRIBOROUGH BRDG & TUNL AUTH NY REVS SER-A	B	Interest	K	T					
49.	-OPPENHEIMER LTD TERM NY MUNI C	B	Interest	K	T					
50.	-NEW YORK CITY GEN OBLIG FISCAL SER-B SUBSER B-1	A	Interest	K	T					

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51. -METROPOLITAN TRANS AUTH N Y TRANS REV SER-A	A	Interest	K	T					
52. -NEW YORK N Y CITY MUN WTR FIN AUTH WTR & SWR SYS REV SER E	A	Interest	K	T					
53. -CALVERT SHORT DURATION INC C	A	Interest	K	T					
54. -MAINSTAY HIGH YIELD OPPORT	A	Interest	K	T					
55. -OPPENHEIMER LTD TERM NY MUNI C	A	Interest	K	T					
56. -PRUDENTIAL SHT TRM CORP BD C	A	Interest	K	T					
57. -VIRTUS UNSIGHT SH INTM BD C	A	Interest	K	T					
58. -VIRTUS MULTI SECT SHT TRM BD T	A	Interest	K	T					
59. -WELLS FARGO ADV ST MUNI BD C	A	Interest	K	T					
60. -GENERAL ELECTRIC CO	A	Int./Div.	K	T	Buy	01/19/12	K		
61. -PFIZER INC	A	Int./Div.	K	T	Buy	01/19/12	K		
62. -METROPOLITAN TRANS AUTH N Y TRANS REV SER-A	B	Interest	L	T	Buy	01/19/12	L		
63. -NEW YORK ARre twy UTH REV SER-H	B	Interest	M	T	Buy	01/19/12	M		
64. -MAINSTAY HI YLD CORP BOND C	C	Interest	L	T	Buy	01/24/12	L		
65. -OPPENHEIMER LTD TERM NY MUNI C	B	Interest	K	T	Buy	01/24/12	K		
66. -VIRTUS MULTI SECT SHT TRM BD T	B	Interest	K	T	Buy	01/24/12	K		
67. -NEW YORK CITY TRANS FIN AUTH BLDG AID REV FISCAL S-1	B	Interest	L	T	Buy	02/16/12	L		

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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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68. -NEW YORK CITY GENL OBLIG SER-I	B	Interest	L	T	Buy	02/23/12	L		
69. -NEW YORK STATE THRUWAY AUTHORITY GENERAL REVENUE SERIES-1	B	Interest	K	T	Buy	06/29/12	K		
70. -NEW YORK CITY TRANS FIN AUTH FUTURE TAX SECD REV-F SUBSER	B	Interest	K	T	Buy	06/28/12	K		
71. FIDELITY INVESTMENTS-INHERITED IRA	A	Interest	J	T	Closed	03/02/12	K		
72. MORGAN STANLEY TRADITIONAL INHERITED IRA	A	Interest	K	T	Open	03/02/12	K		
73. -FIDELITY PRUITAN FUND		Interest	J	T	Sold	06/01/12	J		
74. HUDSON CITY SAVING BANK	B	Interest	L	T					

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

1)PART VI I, PAGE 4, LINE #4: THE NAME OF THE ACCOUNT WAS CHANGED TO CITI PERSONAL WEALTH MANAGEMENT.
2)PART VI I, PAGE 7, LINE #64: THIS ACCOUNT WAS AN INHERITATED IRA FROM THE ESTATE [redacted]
3)PART VI I, PAGE 7, LINE #71: THIS ACCOUNT WAS CLOSED AND TRANSFERED TO MORGAN STANLEY.

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544