

Judge Reena Raggi Analysis

http://ballotpedia.org/Reena_Raggi



Confirmation Hearing: <http://www.gpo.gov/fdsys/pkg/CHRG-107shrg88116/pdf/CHRG-107shrg88116.pdf> (**RAGGI Disclosure Statement, pp. 23-50**)

Harvard Law, conflict given Zuckerberg's many Facebook alumni relationships, incl. Larry Summers, Sheryl Sandberg, Ping Li (Accel Partners), Jim Swartz (Accel Partners), James W. Breyer (Accel Partners), **Harvard as a witness**.

Sponsored by Senator Hillary R. Clinton. Hearing Aug. 01, 2002

Husband: David William Denton, attorney <http://www.sidley.com/people/david-w-denton-jr>
Former SDNY U.S. Attorney paralegal; Yale graduate.

Raggi is a seven year EDNY U.S. Attorney.

Conflicts pledge: p. 49 (PDF):

22. **Potential Conflict of Interest:** Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern. Identify the categories of litigation and financial arrangements that are likely to present potential conflicts of interest during your initial service in the position to which you have been nominated.

I expect to resolve any conflict of interest by adhering strictly to the provisions of 28 U.S.C. § 455. Any question as to whether there is or is not a conflict in a particular matter will be resolved in favor of disqualification. As a district court judge, I already follow procedures established by the Judicial Conference and my court for checking – both electronically and manually – a “conflict list” of persons and entities against all case assignments. These conflicts generally relate to my family’s financial holdings and my husband’s law practice.

Signature Reena Raggi Date May 2, 2002

Suttmeier, R. (Apr. 13, 2015). Bank of America (Merrill Lynch), Citi, JPMorgan, Wells Fargo -- How to Trade Bank Stocks Around Earnings. [TheStreet](#) ("Together, these four banks control 43% of the total assets in the banking system")

Not even counting conflicts within his mutual fund holdings (so-called safe harbor concept does not apply when there is even an appearance of impropriety, Canon 2). Safe harbor was intended as a limited concept, not a *carte blanche* for judges to hide litigant holdings behind a mutual fund veil.

In any event, some of these mutual funds are owned by Facebook underwriters (on actually holds FACEBOOK stock) in any event. Judge Raggie holds direct stock in EVERY Facebook underwriter, including JPMorgan, Merrill Lynch (Bank of America) Morgan Stanley, Citigroup, Wells Fargo, Credit Suisse, Goldman Sachs, Barclays and UBS.

<i>Holding</i>	<i>Value (up to)</i>	<i>Facebook relationship</i>
1. Citibank Preferred Money Market Account (MMP)	100K	Underwriter
2. Citibank Checking Account	250K	Underwriter
3. Citi New York Tax Free Reserve MMF	250K	Underwriter
4. Citi Personal Wealth Management (Nos. 5-12)	1.2M	Underwriter
13. Citi Personal Wealth Retirement Plans-IRA (Nos. 14-18)	1.1M	Underwriter
19. Morgan Stanley Smith Barney IRA Rollover Account, incl. Vanguard Total Bond Market (Nos. 20-28)	800K	Underwriter
29. Morgan Stanley Smith Barney Brokerage Account, incl. Goldman Sachs, Wells Fargo) (Nos. 30-70)	2.8M	Underwriters
71. Fidelity Investments	15K	Facebook's largest mutual fund stockholder
72. Morgan Stanley Traditional	50K	Underwriter
73. Fidelity Pruitan Fund (sic) (FPURX), incl. stocks in: <ul style="list-style-type: none"> a. Bank of America (underwriter) b. Citigroup (underwriter) c. JPMorgan Chase (underwriter) d. FACEBOOK e. Microsoft (large shareholder) f. Barclays (underwriter) g. Credit Suisse (underwriter) h. Wells Fargo (underwriter) i. Goldman Sachs (underwriter) j. Morgan Stanley (underwriter) k. Merrill Lynch (BoA)(underwriter) l. UBS (underwriter) m. Fidelity Cash Central Fund (large investor) n. Fidelity Securities Lending Cash Central Fund (large investor) 	15K	Facebook's largest mutual fund stockholder

Notice: This document may contain opinion. As with all opinion, it should not be relied upon without independent verification. Think for yourself.

**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) RAGGI, REENA	2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR	3. Date of Report 05/13/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES CIRCUIT JUDGE	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. COURTHOUSE 225 CADMAN PLAZA EAST BROOKLYN, NY 11201		
<p align="center">IMPORTANT NOTES: <i>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></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	BROOKLYN LAW SCHOOL, BROOKLYN, NEW YORK
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.)

	<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> <i>(yours, not spouse's)</i>
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*

	<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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
		Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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									
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	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	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: 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
 (See Columns B1 and D4) 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 J=\$15,000 or less K=\$15,001 - \$50,000 L=\$50,001 - \$100,000 M=\$100,001 - \$250,000
 (See Columns C1 and D3) 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
 3. Value Method Codes Q=Appraisal R=Cost (Real Estate Only) S=Assessment T=Cash Market
 (See Column C2) 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		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)
	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. -MORGAN STANLEY 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 MULTI-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					

- 1. Income Gain Codes: 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
- (See Columns B1 and D4) 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 J=\$15,000 or less K=\$15,001 - \$50,000 L=\$50,001 - \$100,000 M=\$100,001 - \$250,000
- (See Columns C1 and D3) 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
- 3. Value Method Codes P3=\$25,000,001 - \$50,000,000 P4=More than \$50,000,000 S=Assessment T=Cash Market
- (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. 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
		Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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 OBLIGSER 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.	-WELLS 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					

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

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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)
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		

1. Income Gain Codes: 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
 (See Columns B1 and D4) F=\$50,001 - \$100,000 G=\$100,001 - \$1,000,000 H=\$1,000,001 - \$5,000,000 I12=More than \$5,000,000
 2. Value Codes J=\$15,000 or less K=\$15,001 - \$50,000 L=\$50,001 - \$100,000 M=\$100,001 - \$250,000
 (See Columns C1 and D3) 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 Q=Appraisal R=Cost (Real Estate Only) S=Assessment T=Cash Market
 (See Column C2) U=Book Value V=Other W=Estimated

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
		Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
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					

- | | | | | | |
|--|--|--|--|---|-------------------------|
| 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
I12 = 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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

- 1)PART VI 1, PAGE 4, LINE #4: THE NAME OF THE ACCOUNT WAS CHANGED TO CITI PERSONAL WEALTH MANAGEMENT.
- 2)PART VI 1, PAGE 7, LINE #64: THIS ACCOUNT WAS AN INHERITED IRA FROM THE ESTATE [REDACTED]
- 3)PART VI 1, 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
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