

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) CAPRONI, VALERIE E.	2. Court or Organization SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 07/18/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 40 FOLEY SQUARE, ROOM 240 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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. MEMBER OF BOARD OF VISITORS	UNIVERSITY OF GEORGIA, SCHOOL OF PUBLIC AND INTERNATIONAL AFFAIRS, ATHENS, GA.
2. CO-EXECUTOR OF MY FATHER'S ESTATE	ESTATE [REDACTED]
3. MEMBER [REDACTED]	[REDACTED]
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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Name of Person Reporting

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
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. FEDERAL BAR COUNCIL	FEB. 7-14, 2015	CASA DE CAMPO, DOMINICAN REPUBLIC	WINTER BENCH AND BAR CONFERENCE	HOTEL, MEALS AND TRANSPORTATION FOR ME AND A FAMILY MEMBER
2.				
3.				
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) 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)
1. BROKERAGE ACCOUNT #1									
2. --APPLE INC. COMMON STOCK	A	Dividend	J	T					
3. --CISCO SYSTEMS INC. COMMON STOCK	A	Dividend	K	T					
4. --WALT DISNEY CO. COMMON STOCK	A	Dividend	L	T					
5. --EXPRESS SCRIPTS HOLDING CO. COMMON STOCK		None	K	T					
6. --FORD MOTOR CO. (NEW) COMMON STOCK	A	Dividend	J	T	Buy (add'l)	03/30/15	J		
7.					Buy (add'l)	06/30/15	J		
8. --GAP INC. COMMON STOCK	A	Dividend	K	T					
9. --INTEL CORP. COMMON STOCK	A	Dividend	K	T					
10. --KEYCORP INC. COMMON STOCK	A	Dividend	J	T					
11. --MERCK & CO. COMMON STOCK	B	Dividend	L	T					
12. --PFIZER COMMON STOCK	A	Dividend	K	T					
13. --SYNOVUS FINANCIAL CORP. (NEW) COMMON STOCK	A	Dividend	J	T					
14. --VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND (X)	A	Dividend	K	T					
15. --VANGUARD SHORT TERM INVESTMENT GRADE FUND (X)	A	Dividend	J	T					
16. --GABELLI SMALL CAP GROWTH FUND	A	Dividend	J	T	Buy (add'l)	01/05/15	J		
17.					Buy (add'l)	02/05/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,000,001 - \$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	
3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

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	(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)
18.					Buy (add'l)	03/05/15	J		
19.					Buy (add'l)	04/06/15	J		
20.					Buy (add'l)	05/05/15	J		
21.					Buy (add'l)	06/05/15	J		
22.					Buy (add'l)	06/30/15	J		
23.					Buy (add'l)	07/06/15	J		
24. --LAUDUS INTERNATIONAL MARKETMASTERS FUND	D	Dividend	L	T	Buy (add'l)	05/04/15	J		
25. --SCHWAB 1000 INDEX FUND	D	Dividend	L	T	Buy (add'l)	03/05/15	J		
26.					Buy (add'l)	04/06/15	J		
27.					Buy (add'l)	05/05/15	J		
28.					Buy (add'l)	06/05/15	J		
29.					Buy (add'l)	06/30/15	J		
30.					Buy (add'l)	07/06/15	J		
31. SCHWAB BANK DEPOSIT ACCOUNT	A	Interest	J	T					
32. BROKERAGE ACCOUNT #2									
33. --NORTHROP GRUMMAN COMMON STOCK	E	Dividend	O	T	Sold (part)	04/02/15	M	E	
34. BROKERAGE ACCOUNT #3									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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35. --BLACKROCK GLOBAL SMALL-CAP FUND INSTITUTIONAL SHARES (X)	A	Dividend	K	T					
36. --VANGUARD EXTENDED MARKET INDEX FUND ETF SHARES (X)	A	Dividend	J	T					
37. --VANGUARD FTSE ALL-WORLD EX-US INDEX FUND ADMIRAL SHARES (X)	A	Dividend	K	T					
38. --WISDOM TREE EMERGING MARKETS HIGH DIVIDEND FUND (X)	A	Dividend	K	T	Buy	07/02/15	J		
39. --WISDOM TREE EMERGING MARKETS SMALL-CAP DIVIDEND FUND	A	Dividend	K	T					
40. --BROKERAGE BANK SWEEP ACCOUNT (X)	A	Int./Div.	J	T					
41. BROKERAGE ACCOUNT #4									
42. --BROKERAGE BANK SWEEP ACCOUNT	A	Int./Div.	K	T					
43. --AMERICAN FUNDS DEVELOPING WORLD GROWTH AND INCOME FUND (X)	A	Dividend	K	T	Buy	07/02/15	K		
44. --AMERICAN FUNDS CAPITAL INCOME BUILDER	B	Dividend	K	T					
45. --AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME	B	Dividend	L	T					
46. --AMERICAN FUNDS GLOBAL BALANCED	B	Dividend	K	T					
47. --AMERICAN FUNDS NEW PERSPECTIVE	C	Dividend	K	T					
48. --AMERICAN FUNDS SMALL-CAP WORLD	C	Dividend	K	T					
49. --ARBITRAGE FUND (ARBFX)	A	Dividend	K	T					
50. --BLACKROCK GLOBAL ALLOCATION FUND	C	Dividend	K	T					

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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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51. --BLACKROCK MULTI-ASSET INCOME PORTFOLIO	B	Dividend	K	T					
52. --CALAMOS EVOLVING WORLD GROWTH FUND	A	Dividend	K	T					
53. --CALAMOS MARKET NEUTRAL INCOME FUND	A	Dividend	K	T					
54. --FPA CRESCENT FUND	B	Dividend	K	T					
55. --GABELLI SMALL-CAP GROWTH FUND	C	Dividend	L	T					
56. --GATEWAY FUND	A	Dividend	K	T					
57. --HEARTLAND VALUE PLUS FUND	C	Dividend	K	T					
58. --JOHN HANCOCK FUNDS DISCIPLINED VALUE FUND	B	Dividend	K	T					
59. --JPMORGAN INCOME BUILDER FUND SELECT CLASS	B	Dividend	K	T					
60. --JPMORGAN LARGE-CAP GROWTH FUND SELECT CLASS	C	Dividend	L	T					
61. --LAUDUS INTERNATIONAL MARKETMASTERS FUND	C	Dividend	L	T					
62. --MAINSTAY MARKETFIELD FUND		None	K	T					
63. --OPPENHEIMER GLOBAL VALUE FUND		None	K	T					
64. --PIMCO ALL ASSET ALL AUTHORITY FUND INSTITUTIONAL CLASS	A	Dividend	K	T					
65. --PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND	B	Dividend	K	T					
66. --PRUDENTIAL ABSOLUTE RETURN BOND Z	A	Dividend	K	T					
67. --PRUDENTIAL GLOBAL REAL ESTATE	A	Dividend	K	T					

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68. --PRUDENTIAL JENNISON NATURAL RESOURCES FUND (X)		None	J	T					
69. --PRUDENTIAL SHORT DURATION HIGH-YIELD INCOME FUND (X)	B	Dividend	K	T					
70. --SCHRODER EMERGING MARKET EQUITY FUND	A	Dividend	K	T					
71. --SCHRODER INTERNATIONAL MULTI-CAP VALUE FUND	B	Dividend	K	T					
72. --TEMPLETON GLOBAL TOTAL RETURN ADVANTAGE	B	Dividend	K	T					
73. --VAN ECK GLOBAL HARD ASSETS FUND (X)		None	J	T	Buy	07/02/15	K		
74. --VAN ECK UNCONSTRAINED EMERGING MARKETS BOND FUND	B	Dividend	K	T					
75. --WISDOM TREE EMERGING MARKETS SMALL-CAP DIVIDEND FUND	A	Dividend	K	T					
76. BROKERAGE ACCOUNT #5 (CLOSED)									
77. --BROKERAGE ACCOUNT BANK SWEEP ACCOUNT (X)	A		J	T	Closed	04/01/15			
78. JPMORGAN CHASE CASH ACCOUNTS	A	Interest	J	T					
79. CITIBANK CASH ACCOUNTS (X)	A	Interest	L	T					
80. RENTAL PROPERTY #1, WASHINGTON, DC (Y)									
81. RENTAL PROPERTY #2, NEW YORK, NY (Y)									
82. US SAVINGS BONDS		None	K	T					
83. 401K#1									

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84. --NORTHROP GRUMMAN US FIXED INCOME FUND			K	T					
85. --NORTHROP GRUMMAN INTERNATIONAL EQUITY FUND			K	T					
86. --NORTHROP GRUMMAN EMERGING MARKETS EQUITY FUND			J	T					
87. NATIONAL LIFE INSURANCE WHOLE LIFE POLICIES		None	K	T					

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

PART I, LINE 2: ESTATE HAS NO REPORTABLE ASSETS. ESTATE HAS BEEN DISTRIBUTED TO BENEFICIARIES. TO THE EXTENT I WAS THE BENEFICIARY, THE ASSET HAS BEEN REPORTED IN PART VII.

PART VII, LINES 80 AND 81: PREVIOUS REPORT REFLECTED RENTAL OF A RESIDENCE THAT I RENTED TO A THIRD PARTY PRIOR TO SELLING IT AND RENTAL OF [REDACTED]

PART VII, LINES 83-86: THIS ACCOUNT WAS PREVIOUSLY MISTAKENLY REPORTED AS CLOSED. WHEN A NEW THIRD PARTY ADMINISTRATOR TOOK OVER RESPONSIBILITY FOR THE COMPANY'S 401(K) ACCOUNTS IT DISCOVERED THAT THERE WERE BALANCES REMAINING, AS REFLECTED ON LINES 84-86. NO INCOME IS REPORTED BECAUSE THE NEW THIRD PARTY ADMINISTRATOR (FROM WHOM I RECEIVED THE ONLY FINANCIAL STATEMENT AVAILABLE TO ME REGARDING THE ACCOUNT) HAS ONLY OPENING BALANCES. THERE WERE PROBABLY SOME EARNINGS, BUT EXACT AMOUNT IS UNKNOWN. NOTE THAT THESE ARE PROPRIETARY FUNDS ESTABLISHED AND MANAGED BY NORTHROP GRUMMN CORP. FOR THE BENEFIT OF ITS CURRENT AND FORMER EMPLOYEES 401(K) PLANS. THE FUNDS ARE NOT PUBLICLY TRADED.

PART VII, LINE 75: PREVIOUSLY REPORTED IN ERROR AS WISDOM TREE EMERGING MARKETS EQUITY INCOME FUND.

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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/ VALERIE E. CAPRONI

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