

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 06/08/2019
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 01/01/2018 to 12/31/2018
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. PRESIDENT OF RESIDENTIAL COOPERATIVE BOARD	RESIDENTIAL COOP, NEW YORK, NY
2.	
3.	
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.)*

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.				
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	K	T					
3. --CISCO SYSTEMS INC. COMMON STOCK	B	Dividend	K	T	Buy (add'l)	12/28/18	J		
4. --CLEAN ENERGY FUELS COMMON STOCK		None	J	T	Buy (add'l)	06/22/18	J		
5. --WALT DISNEY CO. COMMON STOCK	A	Dividend	L	T					
6. --EXPRESS SCRIPTS HOLDING CO. COMMON STOCK		None			Buy (add'l)	06/26/18	J		
7.					Sold	12/20/18	J	D	
8. --CIGNA CORP(X)	A	Distribution	K	T					
9. --FORD MOTOR CO. (NEW) COMMON STOCK	A	Dividend	J	T	Sold (part)	07/23/18	J		
10.					Buy (add'l)	03/20/18	J		
11.					Buy (add'l)	08/30/18	J		
12. --GAP INC. COMMON STOCK	A	Dividend	J	T					
13. --INTEL CORP. COMMON STOCK	B	Dividend	K	T					
14. --KRAFT HEINZ CO. COMMON STOCK	A	Dividend	J	T					
15. --MERCK & CO. COMMON STOCK	B	Dividend	L	T					
16. --MONDELEZ INTERNATIONAL CLASS A COMMON STOCK	A	Dividend	J	T					
17. --PFIZER COMMON STOCK	B	Dividend	K	T	Buy (add'l)	04/02/18	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 \$5,000,000	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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18.					Buy (add'l)	06/15/18	J		
19. --SYNOVUS FINANCIAL CORP. (NEW) COMMON STOCK	A	Dividend	J	T	Buy (add'l)	05/14/18	J		
20. --VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND	A	Dividend	K	T					
21. --USAA INCOME FUND	A	Dividend	J	T	Buy	10/26/18	J		
22.					Buy (add'l)	12/28/18	J		
23. --SCHWAB VALUE ADVANTAGE MONEY FUND	A	Dividend	J	T	Buy	07/24/18	J		
24.					Sold (part)	09/07/18	J		
25.					Sold (part)	10/25/18	J		
26.					Sold (part)	11/15/18	J		
27. --VANGUARD SHORT TERM INVESTMENT GRADE FUND	A	Dividend	J	T					
28. --GABELLI SMALL CAP GROWTH FUND	B	Dividend	K	T	Buy (add'l)	01/05/18	J		
29.					Buy (add'l)	02/05/18	J		
30.					Buy (add'l)	03/05/18	J		
31.					Buy (add'l)	04/05/18	J		
32.					Buy (add'l)	05/07/18	J		
33.					Buy (add'l)	06/05/18	J		
34.					Buy (add'l)	07/05/18	J		

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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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. --LAUDUS INTERNATIONAL MARKETMASTERS FUND	D	Dividend	L	T					
36. SCHWAB FUNDAMENTAL US SMALL CO. INDEX	A	Dividend	J	T	Buy	07/23/18	J		
37.					Buy (add'l)	08/06/18	J		
38.					Buy (add'l)	09/05/18	J		
39.					Buy (add'l)	10/05/18	J		
40. --SCHWAB 1000 INDEX FUND	D	Dividend	M	T	Buy (add'l)	06/05/18	J		
41.					Buy (add'l)	07/05/18	J		
42. --SCHWAB INTERNATIONAL INDEX FUND	A	Dividend	J	T					
43. SCHWAB BANK DEPOSIT ACCOUNT	A	Interest	K	T					
44. BROKERAGE ACCOUNT #2									
45. --FIDELITY GOVERNMENT MONEY MARKET FUND (X)	A	Dividend	K	T					
46. --NORTHROP GRUMMAN COMMON STOCK	E	Dividend	P1	T	Sold (part)	01/09/18	K	E	
47. BROKERAGE ACCOUNT #3									
48. --FIDELITY MONEY MARKET	A	Dividend	J	T	Buy	07/25/18	J		
49. --BLACKROCK ADVANTAGE GLOBAL FUND INSTITUTIONAL SHARES					Sold	07/23/18	K		
50. --BLACKROCK GLOBAL ALLOCATION FUND	A	Dividend	K	T	Buy	07/23/18	K		
51. --VANGUARD EXTENDED MARKET INDEX FUND ETF SHARES	A	Dividend	J	T					

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52. --VANGUARD FTSE ALL-WORLD EX-US INDEX FUND ADMIRAL SHARES	A	Dividend	K	T					
53. --WISDOM TREE EMERGING MARKETS HIGH DIVIDEND FUND	B	Dividend	K	T					
54. --WISDOM TREE EMERGING MARKETS SMALL-CAP DIVIDEND FUND	A	Dividend	K	T					
55. --BROKERAGE BANK SWEEP ACCOUNT AT GOLDMAN SACHS BANK (X)	A	Int./Div.	J	T					
56. BROKERAGE ACCOUNT #4									
57. --BROKERAGE BANK SWEEP ACCOUNT AT GOLDMAN SACHS BANK (X)	A	Int./Div.	L	T					
58. --AQR MANAGED FUTURES STRATEGY FUND		None	J	T					
59. --AMERICAN FUNDS DEVELOPING WORLD GROWTH AND INCOME FUND	A	Dividend	K	T					
60. --AMERICAN FUNDS CAPITAL INCOME BUILDER	B	Dividend	L	T					
61. --AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME	C	Dividend	L	T					
62. --AMERICAN FUNDS GLOBAL BALANCED	B	Dividend	L	T					
63. --AMERICAN FUNDS NEW PERSPECTIVE	C	Dividend	L	T					
64. --AMERICAN FUNDS SMALL-CAP WORLD	C	Dividend	K	T					
65. --ARBITRAGE FUND (ARB NX)	A	Dividend	K	T					
66. --BLACKROCK GLOBAL ALLOCATION FUND	B	Dividend	K	T					
67. --BLACKROCK MULTI-ASSET INCOME PORTFOLIO	B	Dividend	K	T					

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68. --BOSTON PARTNERS LONG/SHORT RESEARCH FUND	B	Dividend	K	T					
69. --DFA EMERGING MARKETS VALUE PORTFOLIO	B	Dividend	K	T					
70. --DFA INTERNATIONAL SMALL-CAP VALUE PORTFOLIO	B	Dividend	K	T	Buy	07/23/18	L		
71. --FIDELITY NEW MARKETS INCOME FUND	B	Dividend	K	T					
72. --FPA CRESCENT FUND	C	Dividend	K	T					
73. --GABELLI SMALL-CAP GROWTH FUND	C	Dividend	L	T					
74. --GATEWAY FUND	A	Dividend	K	T					
75. --JOHN HANCOCK FUNDS DISCIPLINED VALUE FUND	C	Dividend	K	T					
76. --JPMORGAN INCOME BUILDER FUND SELECT CLASS	B	Dividend	K	T					
77. --JPMORGAN LARGE-CAP GROWTH FUND SELECT CLASS	D	Dividend	L	T					
78. --LAUDUS INTERNATIONAL MARKETMASTERS FUND	D	Dividend	L	T					
79. --NATIXIS ASG MANAGED FUTURES STRATEGY FUND	A	Dividend	J	T					
80. --PIMCO ALL ASSET ALL AUTHORITY FUND INSTITUTIONAL CLASS	B	Dividend	K	T					
81. --PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND	B	Dividend	K	T					
82. --PGIM ABSOLUTE RETURN BOND Z (X)	A	Dividend	K	T					
83. --PGIM GLOBAL REAL ESTATE (X)	A	Dividend	K	T					
84. --PGIM JENNISON NATURAL RESOURCES FUND (X)	A	Dividend	J	T					

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85. --PGIM SHORT DURATION HIGH-YIELD INCOME FUND (X)	B	Dividend	K	T					
86. --HARTFORD SCHRODER EMERGING MARKETS EQUITY FUND	A	Dividend	L	T					
87. --HARTFORD SCHRODER INTERNATIONAL MULTI-CAP VALUE FUND	B	Dividend	K	T					
88. --TEMPLETON GLOBAL TOTAL RETURN FUND	B	Dividend	K	T					
89. --VAN ECK GLOBAL HARD ASSETS FUND	A	Dividend	J	T					
90. --VAN ECK UNCONSTRAINED EMERGING MARKETS BOND FUND	B	Dividend	K	T					
91. --VANGUARD MARKET NEUTRAL FUND	A	Dividend	K	T					
92. --VANGUARD SMALL-CAP VALUE INDEX FUND	A	Dividend	K	T					
93. --WISDOM TREE EMERGING MARKETS SMALL-CAP DIVIDEND FUND	A	Dividend	K	T					
94. --WISDOM TREE EMERGING MARKETS HIGH DIVIDEND FUND (X)	B	Dividend	K	T					
95. JPMORGAN CHASE CASH ACCOUNTS	A	Interest	J	T					
96. CITIBANK CASH ACCOUNTS	B	Interest	L	T					
97. US SAVINGS BONDS		None	K	T					
98. 401K#1									
99. --NORTHROP GRUMMAN US FIXED INCOME FUND		None	J	T	Sold (part)	07/24/18	J		
100. --NORTHROP GRUMMAN INTERNATIONAL EQUITY FUND		None	K	T					

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101. --NORTHROP GRUMMAN EMERGING MARKETS EQUITY FUND		None	J	T					
102. --NORTHROP GRUMMAN SMALL CAP FUND		None	J	T	Buy	07/24/18	J		
103. NATIONAL LIFE INSURANCE WHOLE LIFE POLICIES		None	K	T					
104. 529 COLLEGE SAVINGS ACCOUNT									
105. --FIDELITY NH PORTFOLIO 2033		None	J	T	Buy (add'l)	03/20/18	J		
106.					Buy (add'l)	05/21/18	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 ~\$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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

CAPRONI, VALERIE E.

Date of Report

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

PART VII, LINE 8: CIGNA AND EXPRESS SCRIPTS MERGED. CIGNA WAS THE SURVIVING COMPANY. I ACQUIRED THE REPORTED SHARES AS A RESULT.

PART VII, LINE 23: THIS FUND WAS PREVIOUSLY MISIDENTIFIED AS SCHWAB VALUE ADVANTAGE.

PART VII, LINE 45: THE SWEEP ACCOUNT ASSOCIATED WITH THIS BROKERAGE ACCOUNT WAS CHANGED TO THE FIDELITY GOVERNMENT MONEY MARKET FUND.

PART VII, LINE 55 AND 57: THE INVESTMENT MANAGER FOR THOSE TWO ACCOUNTS CHANGED THE BANK IN WHICH SWEEP ACCOUNTS ARE HELD.

PART VII, LINES 82-85: THESE WERE PREVIOUSLY REPORTED AS "PRUDENTIAL" FUNDS. THE FUND FAMILY CHANGED ITS NAME TO "PGIM".

PART VII, LINE 94: THIS FUND WAS PREVIOUSLY MISIDENTIFIED AS WISDOM TREE EMERGING HIGH DIVIDEND FUND.

PART VII, LINES 98-1020-93: THIS ACCOUNT HOLDS PROPRIETARY FUNDS ESTABLISHED AND MANAGED BY NORTHROP GRUMMAN CORP. FOR THE BENEFIT OF ITS CURRENT AND FORMER EMPLOYEES' 401(K) PLANS. THE FUNDS ARE NOT PUBLICLY TRADED. PLEASE NOTE THAT FUND MANAGER DOES NOT REPORT DISTRIBUTIONS BUT ONLY THE VALUE OF THE HOLDING AT THE END OF THE REPORTING PERIOD. CHANGES IN VALUE AS A RESULT OF DISTRIBUTIONS ARE NOT SEPARATED FROM CAPITAL APPRECIATION.

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Name of Person Reporting

CAPRONI, VALERIE E.

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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
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Washington, D.C. 20544