

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) Torres, Analisa N.	2. Court or Organization U.S. District Court for the Southern District of New York	3. Date of Report 08/06/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	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 U.S. District Court for the Southern District of New York 500 Pearl Street 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2017	New York State Local & Retirement System/Defined Benefit Pension Plan
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> (yours, not spouse's)
1. 2018	New York State Local & Retirement System/Defined Benefit Pension Plan	\$48,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Wells Fargo Advisors-salary, commissions and bonus
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.				
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.)*

	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.	Wells Fargo Visa	Credit Card	J
2.	Chase MC	Credit Card	J
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-TOD #1 (H)									
2. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
3. -iShares Dividend Index-DVY	A	Dividend	J	T					
4. -Wisdom Tree Equity Income-DHS	A	Dividend	J	T					
5. -Center Coast MLP Fund-CCCNX	B	Dividend	K	T					
6. -Calamos Strategic Fund-CSQ	A	Dividend	J	T					
7. -Nuveen Pref Inc Fund-JPC	B	Dividend	K	T					
8. Powershares-SPHD	A	Dividend			Sold	12/19/18	K	A	
9. Spider S&P 500-SPY	A	Dividend	J	T					
10.									
11. Brokerage Account #2 (H)									
12. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
13.									
14. Brokerage Account #3 (H)									
15. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
16.									
17. SW-IRA#1 (H)									

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	
	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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18. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
19. -Abbvie-ABBV	A	Dividend			Sold	09/17/18	J	C	
20. -Altria-MO	A	Dividend			Sold	03/19/18	L		
21. -Apple-AAPL	B	Dividend	K	T					
22.					Buy (add'l)	10/26/18	J		
23.					Buy (add'l)	10/11/18	J		
24.					Buy (add'l)	09/10/18	J		
25.					Buy (add'l)	08/30/18	J		
26.					Buy (add'l)	08/24/18	J		
27.					Buy (add'l)	08/17/18	J		
28. -Facebook-FB	A	Dividend	K	T					
29. -JPM Chase-JPM	A	Dividend	L	T					
30. Lazard Infrastructure-GLIFX	A	Dividend			Sold	03/19/18	J	A	
31. -Microsoft-MSFT	A	Dividend	K	T					
32.					Buy (add'l)	12/13/18	J		
33.					Buy (add'l)	10/11/18	J		
34.					Buy (add'l)	09/17/18	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	

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35.					Buy (add'l)	09/07/18	J		
36.					Buy (add'l)	07/21/18	J		
37.					Buy (add'l)	04/26/18	J		
38. PSX	A	Dividend	J	T					
39. AMZN		None	L	T					
40.					Buy (add'l)	10/26/18	J		
41.					Buy (add'l)	10/11/18	J		
42.					Buy (add'l)	09/17/18	J		
43.					Buy (add'l)	09/10/18	J		
44.					Buy (add'l)	09/07/18	J		
45.					Buy (add'l)	08/17/18	J		
46.					Buy (add'l)	03/02/18	J		
47. GOOGL		None	K	T	Buy (add'l)	01/23/18	J		
48. Virtus-HIEMX	A	Dividend			Sold	06/18/18	J		
49.									
50. SCW Roth IRA #2 (H)									
51. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					

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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	

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52. -Bank of America-BAC	A	Dividend	L	T					
53.					Buy (add'l)	02/07/18	J		
54.					Buy (add'l)	02/09/18	J		
55.					Buy (add'l)	04/03/18	J		
56.					Buy (add'l)	12/31/18	J		
57. AT- Roth IRA #3 (H)									
58. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
59. First Eagle Global	A	Dividend	J	T					
60.									
61. AT-Eq Inc-IRA#5 (H)									
62. -ABBV	A	Dividend	J	T					
63. -MO	A	Dividend	J	T					
64. -AEP	A	Dividend	J	T	Sold (part)	02/07/18	J	A	
65. -T	A	Dividend	J	T					
66. -CSCO	A	Dividend	J	T					
67. -DEO	A	Dividend	J	T					
68. -D	A	Dividend	J	T	Sold (part)	02/07/18	J	A	

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69. -DOV	A	Dividend	J	T					
70. -DD	A	Dividend	J	T					
71. -GD	A	Dividend	J	T					
72. -GPC	A	Dividend	J	T					
73. -HCN	A	Dividend	J	T					
74. -HD	A	Dividend	J	T					
75. -ITW	A	Dividend	J	T					
76. -INTC	A	Dividend	J	T					
77. -IP	A	Dividend			Sold	11/07/18	J	A	
78. -JNJ	A	Dividend	J	T	Buy (add'l)	10/01/18	J		
79. -JPM	A	Dividend	J	T					
80. -KMB	A	Dividend	J	T					
81. -LMT	A	Dividend	J	T					
82. -MTB	A	Dividend	J	T					
83. -MAT	A	Dividend	J	T					
84. -MXIM	A	Dividend	J	T					
85. -MCD	A	Dividend	J	T	Buy (add'l)	11/02/18	J		

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86. -MCHP	A	Dividend			Sold	10/01/18	J	A	
87. -MRK	A	Dividend	J	T	Buy	11/02/18	J		
88. -MSFT	A	Dividend	J	T	Buy (add'l)	11/02/18	J		
89. -NEE	A	Dividend	J	T	Sold (part)	02/07/18	J	A	
90. -PBCT	A	Dividend	J	T					
91. -PEP	A	Dividend	J	T					
92. -PSX	A	Dividend	J	T					
93. -PG	A	Dividend	J	T					
94. -SO	A	Dividend	J	T	Sold (part)	02/07/18	J	A	
95. -UPS	A	Dividend	J	T					
96. -VZ	A	Dividend	J	T					
97. -VOD	A	Dividend	J	T					
98. -WAG	A	Dividend	J	T					
99. -WM	A	Dividend	J	T					
100. QCOM	A	Dividend	J	T					
101. PFE	A	Dividend	J	T					
102. NUE	A	Dividend	J	T					

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103. -XOM	A	Dividend	J	T					
104. -IBM	A	Dividend	J	T					
105. -USB	A	Dividend	J	T					
106. WELL	A	Dividend	J	T					
107. TGT	A	Dividend	J	T					
108.									
109.									
110. SCW-IRA#6 DSIP (H)									
111. -AFL	A	Dividend	J	T					
112. -ACN	A	Dividend	J	T					
113. -APD	A	Dividend	J	T					
114. -ADI	A	Dividend	J	T					
115. -ADP	A	Dividend	J	T					
116. -AMGN	A	Dividend	J	T					
117. -AAPL	A	Dividend	J	T	Buy	11/29/18	J		
118. -BDX	A	Dividend	J	T					
119. -CVX	A	Dividend	J	T					

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120. -CB	A	Dividend	J	T					
121. -CLX	A	Dividend	J	T					
122. -CL	A	Dividend	J	T					
123. -CSCO	A	Dividend	J	T					
124. -EV	A	Dividend	J	T					
125. -EMR	A	Dividend	J	T					
126. -FDS	A	Dividend	J	T					
127. -GIS	A	Dividend			Sold	12/12/18	J		
128. -GD	A	Dividend	J	T					
129. -GWW	A	Dividend			Sold	01/03/18	J		
130. -HRS	A	Dividend	J	T					
131. -IBM	A	Dividend			Sold	11/29/18	J		
132. -JNJ	A	Dividend	J	T	Buy (add'l)	10/17/18	J		
133. -JPM	A	Dividend	J	T	Buy (add'l)	10/17/18	J		
134. -MCD	A	Dividend	J	T					
135. -MDT	A	Dividend	J	T					
136. -MSFT	A	Dividend	J	T					

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 \$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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Torres, Analisa N.

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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)
137. -NEE	A	Dividend	J	T					
138. -NSC	A	Dividend	J	T					
139. -NVS	A	Dividend	J	T					
140. -PAYX	A	Dividend	J	T					
141. -PEP	A	Dividend	J	T	Buy (add'l)	12/13/18	J		
142. -PSX	A	Dividend	J	T					
143. -PII	A	Dividend	J	T					
144. -PX	A	Dividend			Sold	10/31/18	J		
145. -PG	A	Dividend	J	T					
146.	A	Dividend	J	T	Buy (add'l)	12/13/18	J		
147. -SIAL	A	Dividend	J	T					
148. -SYF	A	Dividend	J	T					
149. -TGT	A	Dividend	J	T					
150. USB	A	Dividend	J	T					
151. -VFC	A	Dividend	J	T					
152. -WMT	A	Dividend	J	T					
153. -WEC	A	Dividend	J	T					

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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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)
154. -MMM	A	Dividend	J	T					
155. -ES	A	Dividend	J	T					
156. -NKE	A	Dividend	J	T					
157.									
158.									
159.									
160.									
161.									
162. TD Bank Savings Account	A	Dividend	K	T					
163.									
164. Chase Checking Plus Account	A	Dividend	J	T					
165.									
166. 401K #1 (H)									
167. -Wells Fargo 401k Large Cap Growth Multi-Manager Fund	A	Dividend	K	T					
168. -Wells Fargo 401k LargeCap Value Multi- Manage Fund	A	Dividend	K	T					
169. -Russell SC Index	A	Dividend	J	T					
170. -SC Fund	A	Dividend	J	T					

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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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)
171. -Emerging Mkts Fund	A	Dividend	K	T					
172. -Intl Equity	A	Dividend	K	T					
173. -State St Intl Index	A	Dividend	K	T					
174. WF/State Street Target 2020	A	Dividend	J	T					
175. WF/State Street Target 2025	A	Dividend	J	T					
176. WF/State Street Target 2030	A	Dividend	J	T					
177. WF/State Street Target 2035	A	Dividend	J	T					
178. WF/State Street Target 2040	A	Dividend	J	T					
179. WF/State Street Target 2045	A	Dividend	J	T					
180. WF/State Street Target 2050	A	Dividend	J	T					
181. WF/State Street Target 2050	A	Dividend	J	T					
182.									
183.									
184.									
185.									
186.									
187.									

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

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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/ Analisa N. Torres

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