

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Dooley, Kari A.	2. Court or Organization District of Connecticut	3. Date of Report 05/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 915 Lafayette Boulevard Courtroom 4 - Annex Bridgeport, Connecticut 06604		
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. 11/09/04	State of Connecticut 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.		
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. Federal Bar Council - CTA2	11/1/19 - 11/3/19	New Paltz, New York	Fall Retreat - CLE Moderator	meals and lodging
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.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

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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. Abbott Labs Stock	A	Dividend	K	T					
2. Abbvie Stock	A	Dividend	K	T					
3. Alphabet Class C		None	L	T					
4. Alphabet Class A		None	L	T					
5. Altria Group Stock	A	Dividend	J	T					
6. Americaa Airline Stock	A	Dividend	K	T					
7. Amgen Stock	B	Dividend	K	T					
8. Amerirn Electrical Power Stock	A	Dividend	K	T					
9. Apache Stock	A	Dividend			Sold	12/19/19	J		
10. Apple Stock	A	Dividend	L	T					
11. AT&T stock	C	Dividend	L	T					
12. Baxter International Stock	A	Dividend	K	T					
13. Boeing Stock	B	Dividend	L	T					
14. Caterpillar Stock	A	Dividend	K	T					
15. ViacomCBS Stock	A	Dividend	J	T					
16. Centerpoint Energy Stock	A	Dividend	J	T					
17. Chemours Stock (Y)									

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 H2 =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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18. Cisco Systems Stock	B	Dividend	K	T					
19. Coca Cola Stok	A	Dividend	K	T					
20. Comcast Stock	A	Dividend	K	T					
21. Conaga Stock	A	Dividend	J	T					
22. ConocoPhillips Stock	A	Dividend	K	T					
23. Corteva	A	Dividend	J	T	Buy	06/01/19	J		
24. Cummins, Inc. Stock	A	Dividend	K	T					
25. Diageo Stock	A	Dividend	K	T					
26. Diamondrock Hospitality Stock	A	Dividend			Sold	12/19/19	J		
27. DowDupont Stock (Y)									
28. Dow	A	Dividend	K	T	Spinoff (from line 27)	04/04/19	K		
29. Dupont	A	Dividend	K	T	Spinoff (from line 27)	04/04/19	K		
30. DXC Technology Stock	A	Dividend			Sold	12/19/19	J		
31. Eli Lilly Stock	A	Dividend	K	T					
32. Exelon Stock	A	Dividend	K	T					
33. Exxon Mobil Stock	B	Dividend	K	T					
34. Facebook Stock		None	L	T					

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35. G. Willi Food Stock		None	K	T					
36. General Dynamics Stock	A	Dividend	K	T					
37. Gilead Stock	A	Dividend	J	T					
38. Hewlett Pckard Stock	A	Dividend	J	T					
39. Home Depot	B	Dividend	L	T					
40. HP Inc. Stock	A	Dividend	J	T					
41. Intel Stock	A	Dividend	K	T					
42. IBM Stock	B	Dividend	K	T					
43. Russell 2000 I shares	B	Distribution	M	T					
44. Johnson & Johnson Stock	B	Dividend	L	T					
45. JP Morgan Chase Stock	B	Dividend	L	T					
46. Kraft Heinz Stock	A	Dividend	J	T					
47. Lamb Weston Stock	A	Dividend	J	T					
48. Lockheed Martin Stock	A	Dividend	K	T					
49. Lowes Stock	A	Dividend	K	T					
50. LyondellBassell	A	Dividend	K	T	Buy	09/25/19	K		
51. Manulife Financial Stock	A	Dividend	K	T					

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52. McDonalds Stock	B	Dividend	L	T					
53. Merck	A	Dividend	K	T					
54. Microsoft Stock	A	Dividend	L	T					
55. Mondelez Interntional Stock	A	Dividend	J	T					
56. Motorola Stock	A	Dividend	J	T					
57. National Grid ADRs	A	Dividend	J	T					
58. Norfolk Southern Stock	A	Dividend	K	T					
59. Occidental Petroleum Stock	A	Dividend	J	T					
60. Peoples United Financial Stock	B	Dividend	K	T					
61. Pfizer Stock	B	Dividend	K	T					
62. Philip Morris International Stock	B	Dividend	K	T					
63. Phillips 66 Stock	A	Dividend	K	T					
64. PPL Corp Stock	A	Dividend	K	T					
65. Proctor and Gamble Stock	B	Dividend	K	T					
66. Prudential	B	Dividend	K	T	Buy	04/05/19	K		
67.					Buy (add'l)	08/02/19	K		
68. Qualcomm Stock	B	Dividend	K	T					

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69. Raytheon Stock	A	Dividend	K	T					
70. Rockwell Automation Stock	A	Dividend	K	T					
71. Royal Dutch Shell ADRs	B	Dividend	K	T					
72. Dominion Energy (purchaser of Scana Corp) (X)	A	Dividend	K	T					
73. Senior HSG PPTYS TRSB1 Stock	B	Dividend			Sold	12/19/19	J		
74. S & P 500 ETF	C	Distribution	M	T					
75. Total S.A. Stock	A	Dividend	K	T					
76. Travelers Stock	A	Dividend	K	T					
77. United Technologies Stock	A	Dividend	J	T					
78. US Bancorp Stock	A	Dividend	K	T					
79. Valero Energy Stock	A	Dividend	K	T					
80. Verizon Stock	B	Dividend	L	T					
81. Walmart Stock	B	Dividend	L	T					
82. Wells Fargo Stock	A	Dividend	K	T					
83. American Century Growth Fund	E	Distribution	M	T					
84. American Century Select Fund	D	Distribution	M	T					
85. American Century Heritage Fund	E	Distribution	N	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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86. American Century Intermediate-Term Tax Free Bond Fund	C	Dividend	M	T					
87. Janus Henderson Forty Fund	E	Distribution	N	T					
88. Janus Henderson Research Fund	D	Distribution	M	T					
89. Jnus Henderson Overseas Fund	A	Distribution	L	T					
90. MFS Value R4 Fund	B	Distribution	M	T					
91. Northern Mid Cap Index Fund	E	Distribution	N	T					
92. Northern Small Cap Index Fund	D	Distribution	M	T					
93. Wells Fargo Adv DJ Target 2025 Fund	D	Distribution	L	T					
94. William Blair International Growth Fund	D	Distribution	L	T					
95. Allianz Global Small Cap Fund	C	Distribution	K	T					
96. MFS Global Fund	A	Distribution	K	T					
97. Ford (1/15/21) Bond	B	Interest	K	T					
98. Goldman Sachs (1/24/22) Bond	B	Interest	K	T					
99. Viacom (2/4/22) Bond	A	Interest	K	T					
100. ConocoPhillips (11/15/24) Bond	A	Interest	K	T					
101. Energy Transfer Partners (1/15/26) Bond	A	Interest	K	T					
102. Ingersoll Rnd (2/15/30) Bond	B	Interest	K	T					

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(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	
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103. Tosco Corp (2/15/30) Bond	B	Interest	K	T					
104. Aegon Preferred Stock	A	Dividend	J	T					
105. Puerto Rico Bldg Auth (7/1/17) Bond	B	Interest	J	T					
106. Meriden CT Municipal (8/1/19) Bond	A	Interest			Matured	08/01/19	L		
107. CT HEF (7/1/20) Bond	B	Interest	K	T					
108. Puerto Rico Elec. Pwr Auth (7/1/20) Bond	A	Interest	J	T					
109. Torrance, CA School District (8/1/20) Bond	B	Interest	K	T					
110. Hartford CT Municipal (8/15/21) Bond	A	Interest	J	T					
111. El Dorado CA Sch Dist. (12/1/21) Bond		None	K	T					
112. Philadelphia PA Sch. Dist. (9/1/22) Bond	A	Interest	J	T					
113. PA ST Sch Bldg Auth (6/1/23) Bond	B	Interest	K	T					
114. CT ST Series E (8/15/23) Bond	B	Interest	K	T					
115. New Haven CT Municipal (3/1/24) Bond	B	Interest			Redeemed	03/01/19	K	A	
116. Miami Dade Spl Oblig (10/1/28) Bond	A	Interest	J	T					
117. CT St Series G (10/15/27) Bond	A	Interest	K	T					
118. MD ST Series A ST & Loc (8/1/28) Bond	A	Interest	K	T					
119. CT ST Spl Tax Oblig (10/1/28) Bond	B	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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120. CT ST HEF (7/1/29) Bond	A	Interest	K	T					
121. CT ST Spl Tax Oblig (10/1/30) Bond	A	Interest	K	T					
122. Loomis Sayles Bond Fund	A	Distribution	J	T					
123. Eaton Vance Floating Rate Fund	A	Dividend	K	T					
124. Vanguard European Stock Index Fund UTMA	A	Distribution	J	T					
125. Vangurd Total Stock Market Index Fund - UTMA	A	Distribution	K	T					
126. CT Higher Educ. Trust (529 Plans) - age based option		None	N	T					
127. Merrill Lynch CMA - cash accounts	B	Interest	N	T					
128. CT 457 Deferred Compensation Plan "BOLD" Option	E	Distribution	N	T					
129. Bank of China CD	B	Interest			Matured	01/18/19	M		
130. Citizens Bank CD	B	Interest			Matured	02/22/19	M		
131. M1 Bank CD	B	Interest			Matured	04/05/19	M		
132. Bank of India CD	C	Interest			Matured	06/19/19	M		
133. 26 Week US Treasury Bill	B	Interest			Matured	06/13/19	L		
134. 26 Week US Treasure Bill	B	Interest			Buy	06/13/19	L		
135.					Matured	12/12/19	L		
136. 26 Week Treasury Bill		None	L	T	Buy	11/07/19	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	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		

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)
137. 26 Week Treasury Bill		None	L	T	Buy	12/12/19	L		
138. US Series I Bonds		None	L	T	Buy (add'l)	05/02/19	J		
139.					Buy (add'l)	11/05/19	J		
140. City National Bank of FLA CD	B	Interest			Buy	03/29/19	M		
141.					Matured	10/07/19	M		
142. Beal Bank USA CD	B	Interest			Buy	01/22/19	M		
143.					Matured	10/02/19	M		
144. BNY Mellon CRA (cash)	A	Interest	J	T					
145. BNY Mellon Intermediate Bond Fund	A	Distribution	J	T					
146. BNY Mellon Bond Fund	A	Distribution	J	T					
147. BNY Mellon Yield Enhncement Strategy Fund (X)	A	Distribution	J	T					
148. BNY Mellon Income Stock Fund	A	Distribution	J	T					
149. BNY Mellon Tax Sensitive Large Cap Multi-Strategy	A	Distribution	K	T					
150. BNY Mellon Mid Cap Multi-strategy Fund	A	Distribution	J	T					
151. BNY Mellon Sml/Mid Cap Fund	A	Distribution	K	T					
152. BNY Mellon Diversified International Fund (X)	A	Distribution	K	T					
153. Dreyfus International Small Cap Fund	A	Distribution			Sold	08/15/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)
154. BNY Mellon Alternative Diversifier Strategies Fund (X)	A	Distribution	K	T					
155. Chemical Bank CD		None	M	T	Buy	07/12/19	M		
156. Safra National Bank CD		None	M	T	Buy	08/14/19	M		
157. Bank of India CD		None	M	T	Buy	10/08/19	M		
158. BB&T Bank CD		None	M	T	Buy	11/07/19	M		
159. Northwestrn Mutual Whole Life Ins. Policy	B	Dividend	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	
	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		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dooley, Kari A.

Date of Report

05/10/2020

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

Asset entry 17 no longer meets the reporting requirements.

Asset entry 27, DowDupont broke apart to three separate entities, now appearing at Entries 23, 28 and 29..

Asset entry 72 Dominion Energy was acquired when it bought Scana Corporation. There was no transaction on my part and the software did not account for type of acquisition.

Asset entry 147. This fund was simply rebranded from Dreyfus Yield Enhancement Fund to BNY Mellon Yield Enhancement Fund.

Asset entry 152: This fund was also rebranded from Dreyfus Diversified International Fund to BNY Mellon Diversified International Fund.

Asset entry 154: This fund was also rebranded from Dreyfus/BNY Mellon Diversifier Strategies Fund to BNY Mellon Altrnative Diversified Strategies Fund.

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Dooley, Kari A.

Date of Report

05/10/2020

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/ **Kari A. Dooley**

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