

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Kocoras, Charles P.	2. Court or Organization U.S. District Court, Northern District of Illinois	3. Date of Report 05/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 219 South Dearborn Street Chambers 2560 Chicago, IL 60604		
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.		
2.		
3.		

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Name of Person Reporting

Kocoras, Charles P.

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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. 2020	Chicago's Neighborhoods, Inc. Book Royalties	\$6,139.00
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.				
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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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. Bank of America - Checking		None	K	T					
2. Bank of America - Savings	A	Interest	K	T					
3. Merrill Lynch accounts:									
4. Merrill Lynch Bank Money Market Account	A	Interest	K	T					
5. Merrill Lynch Bank Money Market Account	A	Interest	J	T	Open	07/20/20	J		
6. Blackrock Liquidity Fund Money Market	A	Interest	J	T	Open	07/20/20	J		
7. First Trust Low Duration (Bond)	A	Interest	J	T	Buy	07/20/20	J		
8.					Sold (part)	10/14/20	J		
9. Invesco Emerging Markets (Bond)	A	Interest	J	T	Buy	07/20/20	J		
10. Invesco Preferred ETF (Bond)	A	Interest	J	T	Buy	07/20/20	J		
11. Invesco National Amt-Free Municipal (Bond)	A	Interest			Sold	10/14/20	J		
12. IShares 1-3 Year (Bond)	A	Interest			Sold	10/14/20	J		
13. IShares TR IShares 5-10 Year Investment Grade Corp (Bond)	A	Interest			Sold	10/14/20	J		
14. IShares 7-10 Year (Bond)	A	Interest	J	T	Buy	10/14/20	J		
15. IShares IBoxx \$ (Bond)	A	Interest	J	T	Buy	07/20/20	J		
16. IShares 20+ Year (Bond)	A	Interest	J	T	Buy	07/20/20	J		
17. IShares Tips (Bond)	A	Interest	J	T	Buy	07/20/20	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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	(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)
18. IShares Int Rate HDG (Bond)	A	Interest	J	T	Buy	10/14/20	J		
19. IShares 10-20 Year (Bond)	A	Interest	J	T	Buy	10/14/20	J		
20. ISharesMBS ETF (Bond)	A	Interest	J	T	Buy	07/20/20	J		
21. IShares Interest Rate (Bond)	A	Interest	J	T	Buy	10/14/20	J		
22. Pimco 0-5 Year H/Y Corp (Bond)	A	Interest	J	T	Buy	10/14/20	J		
23. Schwab Short-Term U.S. (Bond)	A	Interest	J	T	Buy	07/20/20	J		
24. SPDR Bloomberg Barclays (Bond)	A	Interest	J	T	Buy	07/20/20	J		
25. Vaneck Vectors Fallen Angel (Bond)	A	Interest	J	T	Buy	07/20/20	J		
26. Vanguard Intermediate (Bond)	A	Interest	J	T	Buy	07/20/20	J		
27. Vanguard Short-Term (Bond)	A	Interest	J	T	Buy	07/20/20	J		
28. Vanguard Intrmdiate-Term (Bond)	A	Interest	J	T	Buy	07/20/20	J		
29. XTrackers USD High Yield (Bond)	A	Interest	J	T	Buy	07/20/20	J		
30. Air Products & Chemicals	A	Dividend	J	T					
31. Astrazeneca PLC SPND ADR	A	Dividend	J	T					
32. Astrazeneca PLC SPND ADR	A	Dividend	J	T					
33. Astrazeneca PLC SPND ADR	A	Dividend	J	T					
34. AT&T	A	Dividend	J	T					

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	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)
35. AT&T	A	Dividend	J	T					
36. AT&T	A	Dividend	J	T					
37. AT&T	A	Dividend	J	T					
38. AT&T	A	Dividend	J	T					
39. AT&T	A	Dividend	J	T					
40. AT&T	A	Dividend	J	T					
41. American Electric Power Co.	A	Dividend	J	T					
42. American Electric Power Co.	A	Dividend	J	T					
43. American Electric Power Co.	A	Dividend	J	T					
44. American Electric Power Co.	A	Dividend	J	T					
45. American Electric Power Co.	A	Dividend	J	T					
46. American Electric Power Co.	A	Dividend	J	T					
47. AMGEN Inc COM	A	Dividend	J	T					
48. AMGEN Inc COM	A	Dividend	J	T					
49. AMGEN Inc COM	A	Dividend	J	T					
50. AMGEN Inc COM	A	Dividend	J	T					
51. Blackrock Inc.	A	Dividend	J	T	Buy	10/27/20	J		

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52. Blackrock Liquidity Fund	A	Dividend	J	T	Buy	07/20/20	J		
53. Bristol-Myers Squibb	A	Dividend	J	T	Buy	07/15/20	J		
54. Broadcom LTD	A	Dividend	J	T					
55. Broadcom LTD	A	Dividend	J	T					
56. Broadcom LTD	A	Dividend	J	T					
57. Carnival Corp Paired SHS	A	Dividend	J	T					
58. Carnival Corp Paired SHS	A	Dividend	J	T					
59. Carnival Corp Paired SHS	A	Dividend	J	T					
60. Carnival Corp Paired SHS	A	Dividend	J	T					
61. Carnival Corp Paired SHS	A	Dividend	J	T					
62. Carnival Corp Paired SHS	A	Dividend	J	T					
63. Carnival Corp Paired SHS	A	Dividend	J	T					
64. Carrier Global Corp REG SH	A	Dividend			Sold	07/15/20	J	A	
65. Carrier Global Corp REG SH	A	Dividend			Sold	07/15/20	J	A	
66. Carrier Global Corp REG SH	A	Dividend			Sold	07/15/20	J	A	
67. Carrier Global Corp REG SH	A	Dividend			Sold	07/15/20	J	A	
68. Carrier Global Corp REG SH	A	Dividend			Sold	07/15/20	J	A	

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69. Carrier Global Corp REG SH	A	Dividend			Sold	07/15/20	J	A	
70. Carrier Global Corp REG SH	A	Dividend			Sold	07/15/20	J	A	
71. Chevron Corp	A	Dividend	J	T					
72. Chevron Corp	A	Dividend	J	T					
73. Chevron Corp	A	Dividend	J	T					
74. Chubb LTD	A	Dividend			Sold	07/15/20	J	A	
75. Chubb LTD	A	Dividend			Sold	07/15/20	J	A	
76. Chubb LTD	A	Dividend			Sold	07/15/20	J		
77. Chubb LTD	A	Dividend			Sold	07/15/20	J		
78. Cisco Systems Inc COM	A	Dividend			Sold	10/27/20	J	A	
79. Cisco Systems Inc COM	A	Dividend			Sold	10/27/20	J		
80. Cisco Systems Inc COM	A	Dividend			Sold	10/27/20	J		
81. Cisco Systems Inc COM	A	Dividend			Sold	10/27/20	J		
82. Cisco Systems Inc COM	A	Dividend			Sold	10/27/20	J		
83. Cisco Systems Inc COM	A	Dividend			Sold	10/27/20	J		
84. Cisco Systems Inc COM	A	Dividend			Sold	10/27/20	J		
85. Cisco Systems Inc COM	A	Dividend			Sold	10/27/20	J		

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86. Citigroup Inc COM	A	Dividend	J	T					
87. Citigroup Inc COM	A	Dividend	J	T					
88. Citigroup Inc COM	A	Dividend	J	T					
89. Coca Cola Co. COM	A	Dividend	J	T					
90. Coca Cola Co. COM	A	Dividend	J	T					
91. Coca Cola Co. COM	A	Dividend	J	T					
92. Coca Cola Co. COM	A	Dividend	J	T					
93. Coca Cola Co. COM	A	Dividend	J	T					
94. Coca Cola Co. COM	A	Dividend	J	T					
95. Coca Cola Co. COM	A	Dividend	J	T					
96. Coca Cola Co. COM	A	Dividend	J	T					
97. Coca Cola Co. COM	A	Dividend	J	T					
98. Crown Castle Reit Inc	A	Dividend	J	T					
99. Crown Castle Reit Inc	A	Dividend	J	T					
100. Crown Castle Reit Inc	A	Dividend	J	T					
101. Crown Castle Reit Inc	A	Dividend	J	T					
102. Crown Castle Reit Inc	A	Dividend	J	T					

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103. CSX Corp	A	Dividend	J	T	Buy	07/15/20	J		
104. Digital Rlty Tr Inc	A	Dividend	J	T					
105. Digital Rlty Tr Inc	A	Dividend	J	T					
106. Digital Rlty Tr Inc	A	Dividend	J	T					
107. Digital Rlty Tr Inc	A	Dividend	J	T					
108. Digital Rlty Tr Inc	A	Dividend	J	T					
109. Digital Rlty Tr Inc	A	Dividend	J	T					
110. Duke Energy Corp NEW	A	Dividend			Sold	07/15/20	J		
111. Duke Energy Corp NEW	A	Dividend			Sold	07/15/20	J		
112. Duke Energy Corp NEW	A	Dividend			Sold	07/15/20	J		
113. Duke Energy Corp NEW	A	Dividend			Sold	07/15/20	J		
114. Emerson Elec. Co.	A	Dividend	J	T	Buy	07/15/20	J		
115. Exxon Mobil Corp COM	A	Dividend	J	T					
116. Exxon Mobil Corp COM	A	Dividend	J	T					
117. Exxon Mobil Corp COM	A	Dividend	J	T					
118. Exxon Mobil Corp COM	A	Dividend	J	T					
119. Exxon Mobil Corp COM	A	Dividend	J	T					

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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)
120. Exelon Corp	A	Dividend			Sold	07/15/20	J		
121. Exelon Corp.	A	Dividend			Sold	07/15/20	J		
122. Exelon Corp.	A	Dividend			Sold	07/15/20	J		
123. The Goldman Sachs Group	A	Dividend	K	T					
124. The Goldman Sachs Group	A	Dividend	J	T					
125. Graniteshares Gold	A	Dividend	J	T	Buy	07/20/20	J		
126. Graniteshares Gold	A	Dividend			Sold (part)	08/06/20	J	A	
127. Graniteshares Gold	A	Dividend			Sold (part)	08/06/20	J	A	
128. Graniteshares Gold	A	Dividend			Sold (part)	09/04/20	J	A	
129. Graniteshares Gold	A	Dividend			Sold (part)	09/04/20	J	A	
130. Graniteshares Gold	A	Dividend			Sold (part)	10/06/20	J	A	
131. Graniteshares Gold	A	Dividend			Sold (part)	10/06/20	J	A	
132. Graniteshares Gold	A	Dividend			Sold (part)	11/05/20	J	A	
133. Graniteshares Gold	A	Dividend			Sold (part)	11/05/20	J	A	
134. Graniteshares Gold	A	Dividend			Sold (part)	11/13/20	J	A	
135. Graniteshares Gold	A	Dividend			Sold (part)	12/04/20	J		
136. Health Care Select SPDR	A	Dividend	J	T	Buy	07/20/20	J		

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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Name of Person Reporting

Kocoras, Charles P.

Date of Report

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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)
137. Home Depot Inc.	A	Dividend	J	T	Buy	10/27/20	J		
138. Intel Corp.	A	Dividend			Sold	10/27/20	J		
139. IShares S&P Gbl Health	A	Dividend	J	T	Buy	07/20/20	J		
140. ISharesTransportation	A	Dividend	J	T	Buy	07/20/20	J		
141. IShares MSCI EAFE Small	A	Dividend	J	T	Buy	07/20/20	J		
142. IShares TR S&P Global MA	A	Dividend	J	T	Buy	07/20/20	J		
143. IShares RS 2000 Value	A	Dividend	J	T	Buy	11/13/20	J		
144. IShares Edge MSCI	A	Dividend	J	T	Buy	07/20/20	J		
145. IShares MSCI China	A	Dividend	J	T	Buy	07/20/20	J		
146. IShares Inc Core MSCI	A	Dividend	J	T	Buy	07/20/20	J		
147. IShares TR Core MSCI EAF	A	Dividend	J	T	Buy	07/20/20	J		
148. IShares MSCI Intl Qualit	A	Dividend	J	T	Buy	07/20/20	J		
149. Johnson and Johnson COM	A	Dividend	J	T					
150. Johnson and Johnson COM	A	Dividend	J	T					
151. Johnson and Johnson COM	A	Dividend	J	T					
152. Johnson and Johnson COM	A	Dividend	J	T					
153. JP Morgan Chase & Co.	A	Dividend	J	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	
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Name of Person Reporting

Kocoras, Charles P.

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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.)

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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)
154. JP Morgan Chase & Co.	A	Dividend	J	T					
155. JP Morgan Chase & Co.	A	Dividend	J	T					
156. JP Morgan Chase & Co.	A	Dividend	J	T					
157. JP Morgan Chase & Co.	A	Dividend	J	T					
158. JP Morgan Chase & Co.	A	Dividend	J	T					
159. Kinder Morgan Inc. DEL	A	Dividend	J	T	Buy	07/15/20	J		
160. Kraneshares CSI China	A	Dividend	J	T	Buy	07/20/20	J		
161. Lockheed Martin Corp	A	Dividend	J	T					
162. Lockheed Martin Corp	A	Dividend	J	T					
163. Lockheed Martin Corp	A	Dividend	J	T					
164. Lockheed Martin Corp	A	Dividend	J	T					
165. Lockheed Martin Corp	A	Dividend	J	T					
166. Lockheed Martin Corp	A	Dividend	J	T					
167. McDonalds Corp COM	A	Dividend	J	T					
168. McDonalds Corp COM	A	Dividend	J	T					
169. McDonalds Corp COM	A	Dividend	J	T					
170. McDonalds Corp COM	A	Dividend	J	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	
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(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

Kocoras, Charles P.

Date of Report

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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. Medtronic PLC SHS	A	Dividend	J	T	Buy	07/15/20	J		
172. Merck and Co. Inc SHS	A	Dividend	J	T					
173. Merck and Co. Inc SHS	A	Dividend	J	T					
174. Merck and Co. Inc SHS	A	Dividend	J	T					
175. Merck and Co. Inc SHS	A	Dividend	J	T					
176. Merck and Co. Inc SHS	A	Dividend	J	T					
177. Merck and Co. Inc SHS	A	Dividend	J	T					
178. Microsoft Corp	A	Dividend	J	T					
179. Microsoft Corp	A	Dividend	J	T					
180. Microsoft Corp	A	Dividend	J	T					
181. Otis Worldwide Corp REG SH	A	Dividend			Sold	04/13/20	J		
182. Otis Worldwide Corp REG SH	A	Dividend			Sold	07/15/20	J		
183. Otis Worldwide Corp REG SH	A	Dividend			Sold	07/15/20	J		
184. Otis Worldwide Corp REG SH	A	Dividend			Sold	07/15/20	J		
185. Otis Worldwide Corp REG SH	A	Dividend			Sold	07/15/20	J		
186. Otis Worldwide Corp REG SH	A	Dividend			Sold	07/15/20	J	A	
187. Otis Worldwide Corp REG SH	A	Dividend			Sold	07/15/20	J		

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
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(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	
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Name of Person Reporting

Kocoras, Charles P.

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05/13/2021

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)
188. Otis Worldwide Corp REG SH	A	Dividend			Sold	07/15/20	J		
189. Pepsico Inc.	A	Dividend	J	T					
190. Pepsico Inc.	A	Dividend	J	T					
191. Pepsico Inc.	A	Dividend	J	T					
192. Pfizer Inc	A	Dividend	J	T					
193. Pfizer Inc	A	Dividend	J	T					
194. Pfizer Inc	A	Dividend	J	T					
195. Pfizer Inc	A	Dividend	J	T					
196. Pfizer Inc	A	Dividend	J	T					
197. Procter & Gamble Co.	A	Dividend	J	T	Buy	07/15/20	J		
198. Raytheon Technologies Corp	A	Dividend			Sold	07/15/20	J		
199. Raytheon Technologies Corp	A	Dividend			Sold	07/15/20	J		
200. Raytheon Technologies Corp	A	Dividend			Sold	07/15/20	J		
201. Raytheon Technologies Corp	A	Dividend			Sold	07/15/20	J		
202. Raytheon Technologies Corp	A	Dividend			Sold	07/15/20	J	A	
203. Raytheon Technologies Corp	A	Dividend			Sold	07/15/20	J		
204. Raytheon Technologies Corp	A	Dividend			Sold	07/15/20	J		

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	
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(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	
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Name of Person Reporting

Kocoras, Charles P.

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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)
205. Royal Bank Canada PV\$1	A	Dividend			Sold	07/15/20	J		
206. Royal Bank Canada PV\$1	A	Dividend			Sold	07/15/20	J		
207. Royal Bank Canada PV\$1	A	Dividend			Sold	07/15/20	J		
208. Royal Dutch Shel PLC	A	Dividend	J	T					
209. Royal Dutch Shel PLC	A	Dividend	J	T					
210. Royal Dutch Shel PLC	A	Dividend	J	T					
211. Sector SPDR Consrms Stpl	A	Dividend	J	T	Buy	07/20/20	J		
212. Sector SPDR Energy	A	Dividend	J	T	Buy	07/20/20	J		
213. Sector SPDR Utilities	A	Dividend	J	T	Buy	07/20/20	J		
214. Simon Property Group DEL	A	Dividend	J	T					
215. Simon Property Group DEL	A	Dividend	J	T					
216. Simon Property Group DEL	A	Dividend	J	T					
217. Simon Property Group DEL	A	Dividend	J	T					
218. Simon Property Group DEL	A	Dividend	J	T					
219. Target Corp COM	A	Dividend	J	T					
220. Target Corp COM	A	Dividend	J	T					
221. Target Corp COM	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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Name of Person Reporting

Kocoras, Charles P.

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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.)

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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)
222. Target Corp COM	A	Dividend	J	T					
223. Target Corp COM	A	Dividend	J	T					
224. Target Corp COM	A	Dividend	J	T					
225. Texas Instruments	A	Dividend	J	T	Buy	10/27/20	J		
226. Truist Finl Corp	A	Dividend	J	T	Buy	07/15/20	J		
227. Toronto Dominion Bank	A	Dividend			Sold	10/27/20	J		
228. Toronto Dominion Bank	A	Dividend			Sold	10/27/20	J		
229. Toronto Dominion Bank	A	Dividend			Sold	10/27/20	J		
230. Toronto Dominion Bank	A	Dividend			Sold	10/27/20	J		
231. Toronto Dominion Bank	A	Dividend			Sold	10/27/20	J		
232. Toronto Dominion Bank	A	Dividend			Sold	10/27/20	J		
233. Vanguard Small Cap Value	A	Dividend	J	T	Buy	07/20/20	J		
234. Vanguard Small Cap	A	Dividend	J	T	Buy	07/20/20	J		
235. Vanguard Value ETF	A	Dividend	J	T	Buy	07/20/20	J		
236.					Sold (part)	08/12/20	J	A	
237. Vanguard Growth ETF	A	Dividend	J	T	Buy	07/20/20	J		
238.					Sold (part)	08/12/20	J	A	

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	
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Name of Person Reporting

Kocoras, Charles P.

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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)
239. Vanguard MSCI European	A	Dividend	J	T	Buy	07/20/20	J		
240. Verizon Communications COM	A	Dividend	J	T					
241. Verizon Communications COM	A	Dividend	J	T					
242. Verizon Communications COM	A	Dividend	J	T					
243. Verizon Communications COM	A	Dividend	J	T					
244. Verizon Communications COM	A	Dividend	J	T					
245. V F Corporation	A	Dividend	J	T	Buy	07/15/20	J		
246. VF Corporation	A	Dividend			Sold	10/27/20	J	A	
247. Viatris Inc.	A	Dividend			Sold	11/20/20	J	A	
248. Viatris Inc.	A	Dividend	J	T	Spinoff (from line 193)	11/16/20	J		
249. Viatris Inc.	A	Dividend	J	T	Spinoff (from line 194)	11/16/20	J		
250. Viatris Inc.	A	Dividend	J	T	Spinoff (from line 195)	11/16/20	J		
251. Viatris Inc.	A	Dividend	J	T	Spinoff (from line 196)	11/16/20	J		
252. Wells Fargo Co.	A	Dividend	K	T					
253. Wells Fargo Co.	A	Dividend	J	T					
254. Walmart Inc	A	Dividend	J	T					
255. Walmart Inc	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	

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)
256. Walmart Inc	A	Dividend	J	T					
257. Walmart Inc	A	Dividend	J	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		

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Name of Person Reporting

Kocoras, Charles P.

Date of Report

05/13/2021

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

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Name of Person Reporting

Kocoras, Charles P.

Date of Report

05/13/2021

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/ Charles P. Kocoras**

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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