

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) CAPRONI, VALERIE E.	2. Court or Organization SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 05/13/2021
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 01/01/2020 to 12/31/2020
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.)

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

CAPRONI, VALERIE E.

Date of Report

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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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
CAPRONI, VALERIE E.	05/13/2021

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) 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 (H)									
2. --APPLE INC. COMMON STOCK	A	Dividend	L	T					
3. --CISCO SYSTEMS INC. COMMON STOCK	B	Dividend	L	T					
4. --CLEAN ENERGY FUELS COMMON STOCK		None	J	T					
5. --WALT DISNEY CO. COMMON STOCK	A	Dividend	L	T					
6. --CIGNA CORP.	A	Distribution	K	T					
7. --FORD MOTOR CO. (NEW) COMMON STOCK	A	Dividend	J	T	Buy (add'l)	02/27/20	J		
8.					Sold (part)	03/25/20	J	A	
9.					Buy (add'l)	04/28/20	J		
10. --GAP INC. COMMON STOCK	A	Dividend			Sold	05/18/20	J	A	
11. --INTEL CORP. COMMON STOCK	B	Dividend	L	T					
12. --KRAFT HEINZ CO. COMMON STOCK	A	Dividend			Buy (add'l)	02/24/20	J		
13.					Sold (part)	03/25/20	J	A	
14.					Sold	12/10/20	J	A	
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	L	T	Buy (add'l)	03/12/20	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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☐ NONE (No reportable income, assets, or transactions.)

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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. --RENEWABLE ENERGY GROUP COMON STOCK		None	K	T	Buy (add'l)	04/28/20	J		
19.					Buy (add'l)	10/21/20	J		
20. --SYNOVUS FINANCIAL CORP. (NEW) COMMON STOCK	A	Dividend	J	T					
21. --VIATRIS COMMON STOCK (X)		None	J	T					
22. --VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND	A	Dividend	K	T					
23. --USAA INCOME FUND	A	Dividend	J	T	Buy (add'l)	01/06/20	J		
24.					Buy (add'l)	04/06/20	J		
25.					Buy (add'l)	05/05/20	J		
26.					Buy (add'l)	06/05/20	J		
27.					Buy (add'l)	07/06/20	J		
28.					Buy (add'l)	08/05/20	J		
29.					Buy (add'l)	09/08/20	J		
30.					Buy (add'l)	10/05/20	J		
31.					Buy (add'l)	11/11/20	J		
32.					Buy (add'l)	12/07/20	J		
33. --SCHWAB VALUE ADVANTAGE MONEY FUND	A	Dividend	J	T	Buy (add'l)	01/16/20	J		
34.					Sold (part)	02/25/20	J	A	

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	

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)	(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)
35.					Sold (part)	03/12/20	J	A	
36.					Buy (add'l)	04/03/20	J		
37.					Sold (part)	04/29/20	J	A	
38.					Buy (add'l)	06/02/20	J		
39.					Sold (part)	07/17/20	J	A	
40.					Buy (add'l)	08/24/20	J		
41. --VANGUARD SHORT TERM INVESTMENT GRADE FUND	A	Dividend	J	T					
42. --GABELLI SMALL CAP GROWTH FUND	C	Dividend	K	T					
43. --LAUDUS INTERNATIONAL MARKETMASTERS FUND	D	Dividend	M	T					
44. --SCHWAB FUNDAMENTAL US SMALL CO. INDEX	A	Dividend	K	T	Buy (add'l)	01/06/20	J		
45.					Buy (add'l)	04/06/20	J		
46.					Buy (add'l)	04/21/20	J		
47.					Buy (add'l)	05/20/20	J		
48.					Buy (add'l)	06/22/20	J		
49.					Buy (add'l)	07/20/20	J		
50.					Buy (add'l)	08/20/20	J		
51.					Buy (add'l)	09/21/20	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.)

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 NONE (No reportable income, assets, or transactions.)

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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)
52.					Buy (add'l)	10/20/20	J		
53.					Buy (add'l)	11/20/20	J		
54.					Buy (add'l)	12/21/20	J		
55. --SCHWAB 1000 INDEX FUND	D	Dividend	M	T	Buy (add'l)	04/20/20	J		
56.					Buy (add'l)	05/20/20	J		
57.					Buy (add'l)	06/22/20	J		
58.					Buy (add'l)	07/20/20	J		
59.					Buy (add'l)	08/20/20	J		
60. --SCHWAB INTERNATIONAL INDEX FUND	A	Dividend	K	T	Buy (add'l)	01/06/20	J		
61.					Buy (add'l)	04/06/20	J		
62.					Buy (add'l)	04/20/20	J		
63.					Buy (add'l)	05/20/20	J		
64.					Buy (add'l)	06/22/20	J		
65.					Buy (add'l)	07/20/20	J		
66.					Buy (add'l)	08/20/20	J		
67.					Buy (add'l)	09/08/20	J		
68.					Buy (add'l)	09/21/20	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
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J =\$15,000 or less
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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)
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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
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E =\$15,001 - \$50,000

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69.					Buy (add'l)	10/05/20	J		
70.					Buy (add'l)	10/20/20	J		
71.					Buy (add'l)	11/05/20	J		
72.					Buy (add'l)	11/20/20	J		
73.					Buy (add'l)	12/07/20	J		
74. --SCHWAB BANK DEPOSIT ACCOUNT	A	Interest	K	T					
75. BROKERAGE ACCOUNT #2 (H)									
76. --FIDELITY GOVERNMENT MONEY MARKET FUND	A	Dividend	J	T	Buy (add'l)	03/11/20	J		
77. --FIDELITY INTERNATIONAL GROWTH FUND	A	Dividend	K	T	Buy	01/10/20	J		
78. --FIDELITY EMERGING MARKETS INDEX FUND	A	Dividend	K	T	Buy (add'l)	01/10/20	J		
79. --NORTHROP GRUMMAN COMMON STOCK	E	Dividend	P1	T	Sold (part)	01/07/20	K	E	
80. BROKERAGE ACCOUNT #3 (H)									
81. --FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T					
82. --BLACKROCK GLOBAL ALLOCATION FUND	B	Dividend	K	T					
83. --FIDELITY 500 INDEX FUND	A	Dividend	J	T	Buy	02/21/20	J		
84. --FIDELITY MIDCAP ENHANCED INDEX FUND	A	Dividend	J	T	Buy	01/10/20	J		
85.					Buy (add'l)	10/09/20	J		

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86. --FIDELITY CORPORATE BOND FUND	A	Dividend	J	T	Buy	02/21/20	J		
87. --VANGUARD EXTENDED MARKET INDEX FUND ETF SHARES	A	Dividend	J	T					
88. --VANGUARD FTSE ALL-WORLD EX- US INDEX FUND ADMIRAL SHARES	A	Dividend	K	T					
89. --WISDOM TREE EMERGING MARKETS HIGH DIVIDEND FUND	A	Dividend	K	T					
90. --WISDOM TREE EMERGING MARKETS SMALL-CAP DIVIDEND FUND					Sold	02/20/20	K	A	
91. BROKERAGE ACCOUNT #4 (H)									
92. --FIDELITY PRIME RESERVE MONEY MARKET	A	Int./Div.							
93. --FIDELITY GOVERNMENT MONEY MARKET (X)	A	Int./Div.	M	T					
94. --AQR MANAGED FUTURES STRATEGY FUND	A	Distribution	J	T					
95. --FIDELITY INTERNATIONAL GROWTH FUND	A	Dividend	M	T	Buy (add'l)	01/03/20	L		
96.					Buy (add'l)	01/10/20	J		
97. --FIDELITY INTERNATIONAL CAPITAL APPRECIATION FUND	C	Dividend	N	T	Buy (add'l)	01/03/20	L		
98.					Buy (add'l)	01/09/20	J		
99.					Buy (add'l)	12/31/20	J		
100. --FIDELITY MIDCAP ENHANCED INDEX FUND	C	Dividend	L	T	Sold (part)	12/31/20	J	A	
101. --FIDELITY FOCUSED STOCK FUND	E	Dividend	N	T					

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102. --FIDELITY VALUE STRATEGIES FUND	B	Dividend	M	T	Buy (add'l)	01/09/20	J		
103. --FIDELITY EXPORT AND MULTINATIONAL FUND	B	Dividend	M	T	Buy (add'l)	01/03/20	M		
104.					Buy (add'l)	01/09/20	J		
105.					Buy (add'l)	12/16/20	J		
106.					Buy (add'l)	12/31/20	J		
107. --BLACKROCK GLOBAL ALLOCATION FUND	B	Dividend			Sold	11/27/20	L	B	
108. --BLACKROCK MULTI-ASSET INCOME PORTFOLIO	A	Dividend			Sold	01/06/20	K	A	
109. --DFA INTERNATIONAL SMALL-CAP VALUE PORTFOLIO	A	Dividend	K	T					
110. --FIDELITY NEW MARKETS INCOME FUND	B	Dividend	K	T					
111. --FIDELITY INVESTMENT GRADE BOND FUND	D	Dividend	L	T	Sold (part)	12/31/20	J	A	
112. --FIDELITY GNMA FUND	A	Dividend	K	T	Buy (add'l)	01/06/20	K		
113.					Sold (part)	12/31/20	J	A	
114. --FIDELITY MORGAGE SECURITIES BOND FUND	B	Dividend	M	T	Buy (add'l)	01/06/20	L		
115.					Buy (add'l)	01/09/20	K		
116.					Buy (add'l)	12/16/20	K		
117. --FIDELITY INTERMEDIATE GOVERNMENT INCOME FUND	B	Dividend	L	T	Buy (add'l)	01/09/20	K		
118.					Buy (add'l)	01/10/20	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

CAPRONI, VALERIE E.

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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)
119.					Buy (add'l)	12/16/20	J		
120. --FIDELITY TOTAL BOND FUND	C	Dividend	L	T	Buy (add'l)	01/03/20	L		
121.					Buy (add'l)	12/31/20	J		
122. --JPMORGAN INCOME BUILDER FUND SELECT CLASS					Sold	01/06/20	L	C	
123. --PIMCO ALL ASSET ALL AUTHORITY FUND INSTITUTIONAL CLASS	B	Dividend	K	T					
124. --PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND					Sold	01/03/20	K	A	
125. --PGIM ABSOLUTE RETURN BOND Z	A	Dividend			Sold	01/03/20	K	A	
126. --PGIM JENNISON NATURAL RESOURCES FUND	A	Dividend	J	T					
127. --PGIM SHORT DURATION HIGH- YIELD INCOME FUND	B	Dividend	K	T					
128. --HARTFORD SCHRODER INTERNATIONAL MULTI-CAP VALUE FUND					Sold	01/06/20	K	A	
129. --TEMPLETON GLOBAL TOTAL RETURN FUND	B	Dividend	K	T					
130. --VAN ECK GLOBAL HARD ASSETS FUND	A	Dividend	K	T					
131. --VAN ECK UNCONSTRAINED EMERGING MARKETS BOND FUND	B	Dividend	K	T					
132. --VANGUARD MARKET NEUTRAL FUND	A	Dividend	K	T					
133. --WISDOM TREE EMERGING MARKETS SMALL-CAP DIVIDEND FUND					Sold	01/03/20	K	A	
134. JPMORGAN CHASE CASH ACCOUNTS	A	Interest	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

CAPRONI, VALERIE E.

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)
135. CITIBANK CASH ACCOUNTS	B	Interest	L	T					
136. US SAVINGS BONDS		None	K	T					
137. 401K#1 (H)									
138. --NORTHROP GRUMMAN US FIXED INCOME FUND		None	J	T					
139. --NORTHROP GRUMMAN INTERNATIONAL EQUITY FUND		None	K	T					
140. --NORTHROP GRUMMAN EMERGING MARKETS EQUITY FUND		None	J	T					
141. --NORTHROP GRUMMAN SMALL CAP FUND		None	J	T					
142. NATIONAL LIFE INSURANCE WHOLE LIFE POLICIES	A	Dividend	K	T					
143. 529 COLLEGE SAVINGS ACCOUNT (H)									
144. --FIDELITY NH PORTFOLIO 2033		None	J	T	Buy (add'l)	02/04/20	J		
145.					Buy (add'l)	05/12/20	J		
146.					Buy (add'l)	08/05/20	J		
147.					Buy (add'l)	12/15/20	J		
148. --FIDELITY NH PORTFOLIO 2036		None	J	T	Buy (add'l)	02/04/20	J		
149.					Buy (add'l)	05/12/20	J		
150.					Buy (add'l)	08/05/20	J		
151.					Buy (add'l)	12/15/20	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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Date of Report

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

PART VII, LINE 21: VIATRUS WAS A SPIN-OFF FROM PFIZER (LINE 17) ON 11/17/20.

PART VII, LINE 81: SWEEP ACCOUNT FOR CASH FROM TRANSACTIONS.

PART VII, LINES 92 AND 93: DURING THE YEAR, THE BROKERAGE FIRM CHANGED THE SWEEP ACCOUNT FROM THE FUND ON LINE 92 TO THE ONE ON LINE 93.

PART VII, LINES 138-141: 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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