

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 07/29/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 40 FOLEY SQUARE, ROOM 240 NEW YORK, NY 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. MEMBER OF BOARD OF VISITORS	UNIVERSITY OF GEORGIA, SCHOOL OF PUBLIC AND INTERNATIONAL AFFAIRS, ATHENS, GA.
2. SECRETARY OF RESIDENTIAL COOPERATIVE BOARD	RESIDENTIAL COOP., NEW YORK, NY
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

	<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.	CENTER FOR LIFE ENRICHMENT	JUNE 24, 2016	HIGHLANDS, NC	TALK ON FBI TRANSFORMATION POST-9/11	PARTIAL REIMBURSEMENT FOR TRAVEL EXPENSES
2.					
3.					
4.					
5.					

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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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) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. BROKERAGE ACCOUNT #1									
2. --APPLE INC. COMMON STOCK	A	Dividend	J	T					
3. --CISCO SYSTEMS INC. COMMON STOCK	A	Dividend	K	T					
4. --CLEAN ENERGY FUELS COMMON STOCK		None	J	T	Buy	09/30/16	J		
5. --WALT DISNEY CO. COMMON STOCK	A	Dividend	L	T					
6. --EXPRESS SCRIPTS HOLDING CO. COMMON STOCK		None	K	T					
7. --FORD MOTOR CO. (NEW) COMMON STOCK	A	Dividend	J	T	Buy (add'l)	03/30/16	J		
8.					Buy (add'l)	06/30/16	J		
9. --GAP INC. COMMON STOCK	A	Dividend	J	T					
10. --INTEL CORP. COMMON STOCK	A	Dividend	K	T					
11. --KEYCORP INC. COMMON STOCK	A	Dividend			Sold	03/30/16	J	A	
12. --MERCK & CO. COMMON STOCK	B	Dividend	L	T					
13. --PFIZER COMMON STOCK	A	Dividend	K	T					
14. --SYNOVUS FINANCIAL CORP. (NEW) COMMON STOCK	A	Dividend	J	T					
15. --VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND	A	Dividend	K	T					
16. --VANGUARD SHORT TERM INVESTMENT GRADE FUND	A	Dividend	J	T					
17. --GABELLI SMALL CAP GROWTH FUND	A	Dividend	K	T	Buy (add'l)	06/30/16	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	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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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 I (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)

18.					Buy (add'l)	12/12/16	J		
19. --LAUDUS INTERNATIONAL MARKETMASTERS FUND	A	Dividend	L	T	Buy (add'l)	12/12/16	J		
20. --SCHWAB 1000 INDEX FUND	C	Dividend	M	T	Buy (add'l)	06/30/16	J		
21.					Buy (add'l)	12/12/16	J		
22. SCHWAB BANK DEPOSIT ACCOUNT	A	Interest	J	T					
23. BROKERAGE ACCOUNT #2									
24. --NORTHROP GRUMMAN COMMON STOCK	E	Dividend	P1	T	Sold (part)	02/22/16	K	D	
25. BROKERAGE ACCOUNT #3									
26. --BLACKROCK GLOBAL SMALL-CAP FUND INSTITUTIONAL SHARES	A	Dividend	K	T					
27. --VANGUARD EXTENDED MARKET INDEX FUND ETF SHARES	A	Dividend	J	T					
28. --VANGUARD FTSE ALL-WORLD EX- US INDEX FUND ADMIRAL SHARES	A	Dividend	K	T					
29. --WISDOM TREE EMERGING MARKETS HIGH DIVIDEND FUND	A	Dividend	K	T	Buy	08/15/16	J		
30. --WISDOM TREE EMERGING MARKETS SMALL-CAP DIVIDEND FUND	A	Dividend	K	T					
31. --BROKERAGE BANK SWEEP ACCOUNT	A	Int./Div.	J	T					
32. BROKERAGE ACCOUNT #4									
33. --BROKERAGE BANK SWEEP ACCOUNT	A	Int./Div.	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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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)

34. --AMERICAN FUNDS DEVELOPING WORLD GROWTH AND INCOME FUND	B	Dividend	K	T					
35. --AMERICAN FUNDS CAPITAL INCOME BUILDER	B	Dividend	L	T					
36. --AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME	B	Dividend	L	T					
37. --AMERICAN FUNDS GLOBAL BALANCED	B	Dividend	L	T					
38. --AMERICAN FUNDS NEW PERSPECTIVE	B	Dividend	K	T					
39. --AMERICAN FUNDS SMALL-CAP WORLD	A	Dividend	K	T					
40. --ARBITRAGE FUND (ARBFX)	A	Dividend	K	T					
41. --BLACKROCK GLOBAL ALLOCATION FUND	A	Dividend	K	T					
42. --BLACKROCK MULTI-ASSET INCOME PORTFOLIO	B	Dividend	K	T					
43. --BOSTON PARTNERS LONG/SHORT RESEARCH FUND	A	Dividend	K	T	Buy	08/15/16	K		
44. --CALAMOS EVOLVING WORLD GROWTH FUND	A	Dividend			Sold	08/15/16	K		
45. --CALAMOS MARKET NEUTRAL INCOME FUND	A	Dividend			Sold	08/15/16	K	A	
46. --DFA EMERGING MARKETS FUND	A	Dividend	K	T	Buy	08/15/16	K		
47. --FIDELITY NEW MARKETS INCOME FUND	B	Dividend	K	T	Buy	08/16/16	K		
48. --FPA CRESCENT FUND	B	Dividend	K	T					
49. --GABELLI SMALL-CAP GROWTH FUND	C	Dividend	L	T					
50. --GATEWAY FUND	A	Dividend	K	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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51. --HEARTLAND VALUE PLUS FUND	C	Dividend			Sold	08/15/16	K		
52. --JOHN HANCOCK FUNDS DISCIPLINED VALUE FUND	A	Dividend	K	T					
53. --JPMORGAN INCOME BUILDER FUND SELECT CLASS	B	Dividend	K	T					
54. --JPMORGAN LARGE-CAP GROWTH FUND SELECT CLASS	D	Dividend	L	T					
55. --LAUDUS INTERNATIONAL MARKETMASTERS FUND	A	Dividend	L	T					
56. --MAINSTAY MARKETFIELD FUND		None			Sold	08/15/16	K		
57. --OPPENHEIMER GLOBAL VALUE FUND		None			Sold	08/16/16	K		
58. --PIMCO ALL ASSET ALL AUTHORITY FUND INSTITUTIONAL CLASS	B	Dividend	K	T					
59. --PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND	C	Dividend	K	T					
60. --PRUDENTIAL ABSOLUTE RETURN BOND Z	A	Dividend	K	T					
61. --PRUDENTIAL GLOBAL REAL ESTATE	A	Dividend	K	T					
62. --PRUDENTIAL JENNISON NATURAL RESOURCES FUND	A	Dividend	K	T					
63. --PRUDENTIAL SHORT DURATION HIGH-YIELD INCOME FUND	B	Dividend	K	T					
64. --HARTFORD SCHRODER EMERGING MARKET EQUITY FUND	A	Dividend	K	T					
65. --HARTFORD SCHRODER INTERNATIONAL MULTI-CAP VALUE FUND	A	Dividend	K	T					
66. --TEMPLETON GLOBAL TOTAL RETURN ADVANTAGE	B	Dividend	K	T					

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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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67. --VAN ECK GLOBAL HARD ASSETS FUND	A	Dividend	K	T					
68. --VAN ECK UNCONSTRAINED EMERGING MARKETS BOND FUND	A	Dividend	K	T					
69. --VANGUARD MARKET NEUTRAL FUND	A	Dividend	K	T	Buy	08/15/16	K		
70. --VANGUARD SMALL-CAP VALUE INDEX FUND	A	Dividend	K	T	Buy	08/15/16	K		
71. --WISDOM TREE EMERGING MARKETS HIGH DIVIDEND FUND	B	Dividend	K	T	Buy	08/15/16	K		
72. --WISDOM TREE EMERGING MARKETS SMALL-CAP DIVIDEND FUND	A	Dividend	K	T					
73. JPMORGAN CHASE CASH ACCOUNTS	A	Interest	J	T					
74. CITIBANK CASH ACCOUNT	A	Interest	L	T					
75. US SAVINGS BONDS		None	K	T					
76. 401K#1									
77. --NORTHROP GRUMMAN US FIXED INCOME FUND		None	K	T					
78. --NORTHROP GRUMMAN INTERNATIONAL EQUITY FUND		None	K	T					
79. --NORTHROP GRUMMAN EMERGING MARKETS EQUITY FUND		None	J	T					
80. NATIONAL LIFE INSURANCE WHOLE LIFE POLICIES	A	Dividend	K	T					
81. 529 COLLEGE SAVINGS ACCOUNT									
82. --FIDELITY NH PORTFOLIO 2033		None	J	T	Buy	06/20/16	J		

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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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83.					Buy (add'l)	12/05/16	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

PART VII, LINES 76-79: THIS ACCOUNT HOLDS PROPRIETARY FUNDS ESTABLISHED AND MANAGED BY NORTHROP GRUMMN CORP. FOR THE BENEFIT OF ITS CURRENT AND FORMER EMPLOYEES 401(K) PLANS. THE FUNDS ARE NOT PUBLICLY TRADED.

PART VII, LINES 64 AND 65: THESE FUNDS WERE PREVIOUSLY NAMED (AND REPORTED AS) SCHRODER EMERGING MARKET EQUITY FUND AND SCHRODER INTERNATIONAL MULTI-CAP VALUE FUND.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544