

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) Dooley, Kari A.	2. Court or Organization District of Connecticut	3. Date of Report 05/09/2019
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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. Judge of the Superior Court	State of Connecticut Judicial Department
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. 2018	State of Connecticut Judicial Department salary	\$108,815.00
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.)*

<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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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. Abbott Labs Stock	A	Dividend	J	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. American Airline Stock	A	Dividend	K	T					
7. Amgen Stock	B	Dividend	K	T					
8. American Electrical Power Stock	A	Dividend	J	T					
9. Apache Stock	A	Dividend	J	T					
10. Apple Stock	A	Dividend	K	T					
11. AT & T Stock	C	Dividend	K	T	Buy (add'l)	09/06/18	J		
12.					Buy (add'l)	04/03/18	J		
13. Baxter International Stock	A	Dividend	J	T					
14. Boeing Stock	B	Dividend	L	T					
15. British American Tobacco ADRs	A	Dividend			Sold	12/31/18	J		
16. Caterpillar Stock	A	Dividend	K	T					
17. CBS Stock	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000,000	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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18. Centerpoint Energy Stock	A	Dividend	J	T					
19. Chemours Stock	A	Dividend	J	T					
20. Cisco Systems Stock	B	Dividend	K	T					
21. Coca Cola Stok	A	Dividend	K	T					
22. Comcast Stock	A	Dividend	K	T					
23. Conaga Stock	A	Dividend	J	T					
24. ConocoPhillips Stock	A	Dividend	K	T					
25. Cummins, Inc. Stock	A	Dividend	K	T					
26. Diageo Stock	A	Dividend	J	T					
27. Diamondrock Hospitality Stock	A	Dividend	J	T					
28. DowDupont Stock	B	Dividend	K	T					
29. DXC Technology Stock	A	Dividend	J	T					
30. Eli Lilly Stock	A	Dividend	K	T					
31. Exelon Stock	A	Dividend	K	T					
32. Exxon Mobil Stock	B	Dividend	K	T					
33. Facebook Stock		None	K	T					
34. G. Willi Food Stock		None	J	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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35. General Electric Stock	A	Dividend			Sold	12/24/18	J		
36. General Motors Stock	A	Dividend			Sold	12/24/18	J		
37. General Dynamics Stock	A	Dividend	K	T					
38. Gilead Stock	A	Dividend	J	T					
39. Hewlett Pckard Stock	A	Dividend	J	T					
40. Home Depot	B	Dividend	L	T					
41. HP Inc. Stock	A	Dividend	J	T					
42. Intel Stock	A	Dividend	K	T					
43. IBM Stock	B	Dividend	K	T					
44. MSCI EAFE Index I shares	A	Dividend			Sold	12/21/18	K		
45. Russell 2000 I shares	B	Distribution	M	T					
46. Johnson & Johnson Stock	B	Dividend	L	T					
47. JP Morgan Chase Stock	B	Dividend	L	T					
48. Kraft Heinz Stock	A	Dividend	J	T					
49. Lamb Weston Stock	A	Dividend	J	T					
50. Lockheed Martin Stock	A	Dividend	K	T					
51. Lowes Stock	A	Dividend	K	T					

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52. Manulife Financial Stock	A	Dividend	J	T					
53. McDonalds Stock	B	Dividend	L	T					
54. Merck	A	Dividend	K	T					
55. Microsoft Stock	A	Dividend	K	T					
56. Mondelez International Stock	A	Dividend	J	T					
57. Motorola Stock	A	Dividend	J	T					
58. National Grid ADRs	A	Dividend	J	T					
59. Norfolk Southern Stock	A	Dividend	K	T					
60. Occidental Petroleum Stock	A	Dividend	K	T					
61. Peoples United Financial Stock	B	Dividend	K	T					
62. Pfizer Stock	B	Dividend	K	T					
63. Philip Morris International Stock	B	Dividend	K	T					
64. Phillips 66 Stock	A	Dividend	J	T					
65. PPL Corp Stock	A	Dividend	K	T					
66. Proctor and Gamble Stock	B	Dividend	K	T					
67. Qualcomm Stock	B	Dividend	K	T					
68. Raytheon Stock	A	Dividend	K	T					

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69. Rockwell Automation Stock	A	Dividend	K	T					
70. Rockwell Collins Stock	A	Dividend			Sold	11/28/18	K	E	
71. Royal Dutch Shell ADRs	B	Dividend	K	T					
72. Scana Corp Stock	A	Dividend	K	T					
73. Senior HSG PPTYS TRSB1 Stock	B	Dividend	J	T					
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	Buy	11/29/18	J		
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	K	T					
82. Wells Fargo Stock	A	Dividend	K	T					
83. Blackrock Eurofund	A	Distribution			Sold	12/31/18	K		
84. American Century Growth Fund	E	Distribution	M	T					
85. American Century Select Fund	D	Distribution	M	T					

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86. American Century Heritage Fund	E	Distribution	M	T					
87. American Century Intermediate-Term Tax Free Bond Fund	C	Dividend	M	T					
88. Janus Henderson Forty Fund	E	Distribution	M	T					
89. Janus Henderson Research Fund	D	Distribution	M	T					
90. Jnus Henderson Overseas Fund	A	Distribution	L	T					
91. MFS Value R4 Fund	B	Distribution	M	T					
92. Northern Mid Cap Index Fund	E	Distribution	N	T					
93. Northern Small Cap Index Fund	D	Distribution	L	T					
94. Wells Fargo Adv DJ Target 2025 Fund	D	Distribution	L	T					
95. William Blair International Growth Fund	D	Distribution	L	T					
96. Allianz Global Small Cap Fund	C	Distribution	K	T					
97. MFS Global Fund	A	Distribution	K	T					
98. Lehman Brothers (2/26/12) Bond		None			Sold	12/24/18	J		
99. Hartford Financial (3/15/18) Bond	A	Interest			Matured	03/15/18	K		
100. Ford (1/15/21) Bond	B	Interest	K	T					
101. Goldman Sachs (1/24/22) Bond	B	Interest	K	T					
102. Viacom (2/4/22) Bond	A	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	
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103. ConocoPhillips (11/15/24) Bond	A	Interest	K	T					
104. Energy Transfer Partners (1/15/26) Bond	A	Interest	K	T					
105. Ingersoll Rnd (2/15/30) Bond	B	Interest	K	T					
106. Tosco Corp (2/15/30) Bond	B	Interest	K	T					
107. Aegon Preferred Stock	A	Dividend	J	T					
108. FNMA Pfd Series T Preferred Stock		None			Sold	12/21/18	J		
109. Puerto Rico Bldg Auth (7/1/17) Bond	B	Interest	J	T					
110. Chicago City Colleges (1/1/18) Bond		None			Matured	01/02/18	J		
111. NJ Higher Educ. Assistance (6/1/18) Bond	A	Interest			Matured	06/01/18	K		
112. Regional Sch. Dist. 19 (6/15/18) Bond	A	Interest			Matured	06/15/18	J		
113. Merced CA Comm. coll. ((8/1/18) Bond	A	Interest			Matured	08/01/18	J		
114. Merident CT Municipal (8/1/19) Bond	B	Interest	L	T					
115. Puerto Rico Sales Tax (8/1/19) Bond		None			Sold	12/31/18	J		
116. CT HEF (7/1/20) Bond	B	Interest	K	T					
117. Puerto Rico Elec. Pwr Auth (7/1/20) Bond	A	Interest	J	T					
118. Torrance, CA School District (8/1/20) Bond	B	Interest	K	T					
119. CT HEF (7/1/21) Bond	B	Interest			Redeemed	07/02/18	K		

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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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120. CT HEF (7/1/21) Bond	A	Interest			Redeemed	07/02/18	J		
121. Hartford CT Municipal (8/15/21) Bond	A	Interest	J	T					
122. CT State Old Series C (11/1/21) Bond	B	Interest			Redeemed	11/01/18	K		
123. El Dorado CA Sch Dist. (12/1/21) Bond		None	K	T					
124. CT HEF (7/1/22) Bond	A	Interest			Redeemed	07/02/18	J		
125. CT HEF (7/1/22) Bond	A	Interest			Redeemed	07/02/18	J		
126. Philadelphia PA Sch. Dist. (9/1/22) Bond	A	Interest	J	T					
127. New Haven, CT Municipal (11/121) Bond	A	Interest			Redeemed	11/01/18	K		
128. PA ST Sch Bldg Auth (6/1/23) Bond	B	Interest	K	T					
129. CT HEF (7/1/23) Bond	A	Interest			Redeemed	07/02/18	J		
130. CT HEF (7/1/23) Bond	B	Interest			Redeemed	07/02/18	J		
131. CT ST Series E (8/15/23) Bond	B	Interest	K	T					
132. New Haven CT Municipal (3/1/24) Bond	B	Interest	K	T					
133. Miami Dade Spl Oblig (10/1/28) Bond	A	Interest	J	T					
134. CT St Series G (10/15/27) Bond	A	Interest	K	T					
135. MD ST Series A ST & Loc (8/1/28) Bond	A	Interest	K	T					
136. CT ST Spl Tax Oblig (10/1/28) Bond	B	Interest	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 \$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)
137. CT ST HEF (7/1/29) Bond	A	Interest	K	T					
138. CT ST Spl Tax Oblig (10/1/30) Bond	A	Interest	J	T					
139. Loomis Sayles Bond Fund	A	Distribution	J	T					
140. Eaton Vance Floating Rate Fund	A	Dividend	K	T					
141. Vanguard European Stock Index Fund UTMA	A	Distribution	J	T					
142. Vanguard Total Stock Market Index Fund - UTMA	A	Distribution	K	T					
143. Northern Large Cap Core Fund - UTMA	A	Dividend			Sold	10/12/18	J	A	
144. Integrity Growth and Income Fund - UTMA	A	Distribution			Sold	10/15/18	J	A	
145. CT Higher Educ. Trust (529 Plans) - age based option		None	N	T					
146. Merrill Lynch CMA - cash accounts	B	Interest	N	T					
147. CT 457 Deferred Compensation Plan "BOLD" Option	E	Distribution	N	T					
148. Bank of China CD	B	Interest	L	T	Buy	07/13/18	M		
149. Citizens Bank CD	B	Interest	L	T	Buy	08/14/18	M		
150. M1 Bank CD	B	Interest	L	T	Buy	09/27/18	M		
151. Bank of India CD	C	Interest	M	T	Buy	12/12/18	M		
152. Discover Bank CD	B	Interest			Matured	06/01/18	M		
153. Bank of India CD	A	Interest			Matured	08/08/18	L		

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. BNY Mellon CD	B	Interest			Matured	12/10/18	L		
155. 26 Week US Treasury Bill	B	Interest	M	T	Buy	12/13/18	M		
156. US Series I Bonds		None	K	T	Buy (add'l)	11/01/18	J		
157.					Buy (add'l)	05/01/18	J		
158. BNY Mellon CRA (cash)	A	Interest	J	T					
159. BNY Mellon Intermediate Bond Fund	A	Distribution	J	T					
160. BNY Mellon Bond Fund	A	Distribution	J	T					
161. Dreyfus Yield Enhancement Strategy Fund	A	Distribution	J	T					
162. BNY Mellon Income Stock Fund	A	Distribution	J	T					
163. BNY Mellon Tax Sensitive Large Cap Multi-Strategy	A	Distribution	J	T					
164. BNY Mellon Mid Cap Multi-strategy Fund	A	Distribution	J	T					
165. BNY Mellon Sml/Mid Cap Fund		None	J	T					
166. Dreyfus Diversified International Fund	A	Distribution	J	T					
167. Dreyfus International Small Cap Fund	A	Distribution	J	T					
168. Dreyfus BNY Mellon Funds Inc - Diversifier Strategies Fund	A	Distribution	K	T					
169. Northwestern Mutual Whole Life Ins. Policy	B	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 \$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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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/ **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
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