AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 1. Person Reporting (last name, first, middle initial) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Arcara, Richard J. | U.S. District Court W.D.N.Y. | 02/07/2024 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| U.S. District Judge | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2022 **to** 12/31/2022 |
| **7. Chambers or Office Address** | | |
| 2 Niagara Square<br>Buffalo, New York 14202 | | |

***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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

| POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

| DATE | PARTIES AND TERMS |
|---|---|
| 1. | |
| 2. | |
| 3. | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

| | DATE | SOURCE AND TYPE | INCOME (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.)*

| | DATE | SOURCE |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |

## IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Arcara, Richard J.** | 02/07/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | RBC Branch Sweep Program | A | Interest | K | T | | | | | |
| 2. | RBC Branch Sweep Program | A | Interest | M | T | | | | | |
| 3. | Alger Small Cap Focus Fund CL A | A | Dividend | J | T | | | | | |
| 4. | Amazon.com Inc. | | None | K | T | Buy | 04/26/22 | K | | |
| 5. | Annaly Capital Management Inc 6.50 SRS | B | Interest | K | T | | | | | |
| 6. | Annaly Capital Management Inc 6.95 SRS | B | Interest | K | T | | | | | |
| 7. | Alternative Loan Trust MTGPC Series | A | Interest | J | T | | | | | |
| 8. | AT&T Inc 5.350 Global Notes due 2066 | B | Interest | K | T | | | | | |
| 9. | Bank of America Corp | A | Dividend | K | T | | | | | |
| 10. | Bank of America Corp 5.00% Dep Shrs callable 9/17/24 | B | Dividend | K | T | | | | | |
| 11. | Bank of America FDG Corp Series 2007-2 Class 1A7 | A | Interest | J | T | | | | | |
| 12. | Bank of American Fund Corp Ser 2007-2 CL TA1B | A | Interest | J | T | | | | | |
| 13. | Bank of America FNDG Corp TR Series 2007-5 Class CA4 | A | Interest | J | T | | | | | |
| 14. | Blackrock Capital Allocation Trust Common Shares of Bene Int | B | Dividend | K | T | | | | | |
| 15. | Blackrock Enhanced Int'l Div Trust | B | Dividend | K | T | | | | | |
| 16. | Blackrock Global Alloc Fd Inc CI A | B | Dividend | K | T | | | | | |
| 17. | BlackRock Global Alloc Fd Inc Cl A | A | Dividend | J | T | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 | |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | | |
| | U =Book Value | V =Other | W =Estimated | | | |

| Name of Person Reporting | Date of Report |
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| **Arcara, Richard J.** | 02/07/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. BlackRock Health Sciences Trust II Com | D | Dividend | K | T | | | | | |
| 19. BlackRock Health Sciences Trust II Com | B | Dividend | J | T | | | | | |
| 20. Blackrock Innovation & Growth Trust Common | B | Dividend | K | T | | | | | |
| 21. Blackrock Multi Sector Income | B | Dividend | K | T | | | | | |
| 22. BlackRock NY Muni Income | A | Dividend | J | T | | | | | |
| 23. Boulder Growth & Income FD | A | Dividend | J | T | | | | | |
| 24. CHL Mortgage Pass Through 2006-15 | A | Interest | J | T | | | | | |
| 25. CHL Mortgage Pass Through 2006-J4 | A | Interest | J | T | | | | | |
| 26. CHL Mortgage Pass Through 2006-16 | A | Interest | J | T | | | | | |
| 27. CHL Mortgage Pass Through 2007-3 | A | Interest | J | T | | | | | |
| 28. Citigroup Commercial Mort Tr MTGPC Ser 2006-C5 A-J Fixed | A | Interest | | | Redeemed | 11/22/22 | J | A | |
| 29. Citigroup Inc. 6.875% ser K | B | Dividend | K | T | | | | | |
| 30. CitiMortgage Alt. Loan Trust Series 2006-A4 | A | Interest | J | T | | | | | |
| 31. Clearbride Value Trust Class A | D | Dividend | L | T | | | | | |
| 32. Clearbridge MLP and Midstream Total Return Fund | B | Dividend | K | T | | | | | |
| 33. Cohen & Steers MLP Income & Energy Opportunity FD Inc | | None | J | T | | | | | |
| 34. Cohen & Steers Real Estate Opportunity Income | B | Interest | K | T | Buy | 02/24/22 | K | | |

1. Income Gain Codes: (See Columns B1 and D4)
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; 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 (See Columns C1 and D3)
J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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|---|---|---|---|---|---|---|---|---|---|
| 35. Cohen & Steers Tax Advantaged Pref Securities and Income Fund | A | Dividend | J | T | | | | | |
| 36. Cohen & Steers Tax Advantaged Pref Securities and Income Fund | A | Interest | J | T | | | | | |
| 37. CSMC Mortgage Backed Trust MTGPC/ Series 2006-9 2-A-1 Fixed Rt | A | Interest | J | T | | | | | |
| 38. CWALT Inc Class 2-A-10 | B | Interest | J | T | Buy | 03/25/22 | K | | |
| 39. Delta Air Lines Del OID 12/15/25 | B | Interest | K | T | | | | | |
| 40. Doubleline Income Solutions FD | A | Dividend | J | T | | | | | |
| 41. Doubleline Income Solutions FD | A | Dividend | J | T | | | | | |
| 42. Duke Energy Corporation 5.625% Jr Sub Debentures | B | Dividend | K | T | | | | | |
| 43. Eaton Vance Fltng RT 2022 Trgt Trm TR | C | None | K | T | Buy | 11/02/22 | K | | |
| 44. Eaton Vance Fltng RT 2002 Trgt Trm TR | A | Dividend | | | Sold | 11/02/22 | K | | |
| 45. Eaton Vance Grwth TR Atlanta Cap Select CL A | | None | L | T | | | | | |
| 46. Eaton Vance Tax-Managed Glbl Diversified Equity Income Fd | C | Dividend | K | T | | | | | |
| 47. Eaton Vance Mut FDS TR FLTG Rate Advantage | B | Interest | K | T | | | | | |
| 48. Euro Pacific Growth Fund CI. A | A | Dividend | K | T | | | | | |
| 49. Federal Home Loan Mtg Corp Ser 5000 CL HU | A | Interest | J | T | | | | | |
| 50. Federal Home Loan Mtg Corp Ser 5200CL QA | A | Interest | K | T | | | | | |
| 51. Federated Hermes Intl Equity CI A | B | Dividend | K | T | | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|
| 52. | Fidelity Adv New Insights Fd Cl A | D | Dividend | L | T | | | | | |
| 53. | Fidelity Adv New Insights Fd Cl A | B | Dividend | J | T | | | | | |
| 54. | Fidelity Advisor New Insights Fd CI A | C | Dividend | K | T | | | | | |
| 55. | Fidelity Advisor New Insights CI A | D | Dividend | L | T | | | | | |
| 56. | Fidelity Adv New Insights Cl C (y) | | | | | | | | | |
| 57. | First TR MLP & Energy Income Fund | B | Dividend | K | T | | | | | |
| 58. | First Trust Intermediate Duration Preferred & Income FD | B | Dividend | J | T | | | | | |
| 59. | First Trust Intermediate Duration Preferred & Income Fd | B | Dividend | J | T | | | | | |
| 60. | FNMA REMIC Trust 2016-39 CA | A | Interest | J | T | | | | | |
| 61. | Ford Motor Company 4.10% Notes Due 2059 callable 3/20/25 | | None | K | T | | | | | |
| 62. | Ford Motor Company 6.20% Notes Due 2059 callable 06/01/24 | B | Interest | K | T | | | | | |
| 63. | Ford Motor Company 6.0%Notes Due 2059 callable 12/1/24 | B | Interest | K | T | | | | | |
| 64. | Ford Motor Credit Company FR 4.1% callable 3/20/23 | A | Interest | K | T | | | | | |
| 65. | FS KKR Capital Corp Common Stock | C | Dividend | K | T | Buy | 09/29/22 | K | | |
| 66. | Global X FDS call ETF | C | Dividend | K | T | | | | | |
| 67. | Goldman Sachs BK USA | B | Dividend | K | T | Buy | 10/27/22 | K | | |
| 68. | Goldman Sachs HY Fund CI.A | B | Dividend | K | T | | | | | |

1. Income Gain Codes: (See Columns B1 and D4)
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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2. Value Codes (See Columns C1 and D3)
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|---|---|---|---|---|---|---|---|---|---|---|
| 69. | Goodyear Tire & Rubber Co Make Whole Call until 12/15/26 Senior unsecu | B | Interest | K | T | Buy | 03/08/22 | K | | |
| 70. | GOV'T Nat'l Mtge Assoc 2012-96 CLYG | A | Interest | | | Redeemed | 10/20/22 | J | | |
| 71. | Gov't Nat'l Mtg Assn Ser 2012-136 CI Ba (Y) | | | | | | | | | |
| 72. | Gov't Nat'l Mtg Assn Ser 2017-149 CL A (Y) | | | | | | | | | |
| 73. | GS MTG Secs Corp Series 2006-2F Class 2A6 | A | Interest | J | T | | | | | |
| 74. | Hotchkis & Wiley Funds Mid Cap Value FD CL A | A | Dividend | K | T | | | | | |
| 75. | Invesco Value Opportunities Class A | C | Dividend | K | T | | | | | |
| 76. | Invesco Charter Fund CI A | A | Dividend | K | T | | | | | |
| 77. | Invesco Trust for Investment | A | Dividend | J | T | | | | | |
| 78. | Ivy FDS Inc Asset Strategy FD CI A | D | Dividend | L | T | | | | | |
| 79. | Ivy Fds Asset Strategy CI A | D | Dividend | K | T | | | | | |
| 80. | Ivy FDS Large Cap growth Fd CI A | B | Dividend | K | T | | | | | |
| 81. | Ivy FDS Large Cap Growth FD CI A | B | Dividend | J | T | | | | | |
| 82. | Janus Invt FD Henderson Multisector Income FD A | B | Dividend | K | T | | | | | |
| 83. | John Hancock Financial Opportunity Fund | C | Dividend | K | T | | | | | |
| 84. | JP Morgan Trust Series 2005-S3 | B | Interest | J | T | Buy | 01/14/22 | K | | |
| 85. | JP Morgan Trust Series 2007-S1 (Y) | | | | | | | | | |

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
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H1 =$1,000,001 - $5,000,000
H2 =More than $5,000,000

2. Value Codes (See Columns C1 and D3)
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K =$15,001 - $50,000
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N =$250,001 - $500,000
O =$500,001 - $1,000,000
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3. Value Method Codes (See Column C2)
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|---|---|---|---|---|---|---|---|---|---|
| 86. JP Morgan Chase Bk 3.0% | B | Interest | K | T | Buy | 07/27/22 | K | | |
| 87. JP Morgan Chase&Co 4.20% Dep Shs Rep1/400th callable 09-01-26 | B | Dividend | K | T | | | | | |
| 88. JP Morgan Chase & Co Dep Shs Each REPSTG A 6.0% callable 3/1/24 | B | Dividend | K | T | | | | | |
| 89. Kearny BK New Jersey CD | A | Interest | K | T | Buy | 11/2/22 | K | | |
| 90. KeyCorp New | B | Dividend | K | T | | | | | |
| 91. Kinetics Paradigm Fund Adv CI A | | None | L | T | | | | | |
| 92. Kinetics Paradigm Fund Advisor CI C | | None | L | T | | | | | |
| 93. Locorr Invt TR Spectrum Income FD CL A | B | Dividend | K | T | | | | | |
| 94. M&T Bank Corp | C | Dividend | L | T | | | | | |
| 95. Merck & Co Inc | B | Dividend | L | T | | | | | |
| 96. Morgan Stanley Mortgage Loan Tr Series 2006-11 2-A-1 Fixed RT | A | Interest | J | T | | | | | |
| 97. National Fuel Gas Co | A | Dividend | K | T | | | | | |
| 98. New Perspective Fund IncCl. A | A | Dividend | J | T | | | | | |
| 99. Nuveen CR Opportunities 2022 TRGT Term FD | B | Dividend | | | Sold | 06/02/22 | K | A | |
| 100. Nuveen High Income 2023 Target Term Fund | A | Dividend | K | T | | | | | |
| 101. Nuveen Credit Strategies Inc Fund | D | Dividend | L | T | Buy | 09/13/22 | K | | |
| 102. Nuveen Municipal Credit Opport Fund Common | A | Dividend | J | T | | | | | |

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
|---|---|
| **Arcara, Richard J.** | 02/07/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 103. Nuveen Municipal Credit Opport Fund Common | C | Dividend | K | T | | | | | |
| 104. Nuveen Variable Rate Preferred & Income Fund Common Shares | C | Dividend | L | T | Buy | 12/23/22 | K | | |
| 105. Organon & Co | A | Dividend | J | T | | | | | |
| 106. Pennymac Corp SR Exch Conv Moody BAA2 S&P BBB | B | Interest | K | T | Buy | 03/15/22 | K | | |
| 107. PGIM Jenn Glbl Opportunities Fund CI A | | None | J | T | | | | | |
| 108. PGIM Jennison Growth Fund Class A | B | Dividend | L | T | | | | | |
| 109. Pimco Access Income Fund Commons Shares of Beneficial Interest | B | Interest | K | T | Buy | 01/28/22 | K | | |
| 110. Proctor & Gamble | A | Dividend | K | T | | | | | |
| 111. QVC Inc. 6.25% Senior Secured Notes due 2068 | B | Dividend | J | T | | | | | |
| 112. Qwest Corporation 6.5% SR Notes due 2056 | B | Interest | K | T | | | | | |
| 113. Residential Accredit LNS Inc CL A-5 | A | Interest | J | T | | | | | |
| 114. Residential Accredit LNS Inc CL I-A-5 | A | Interest | J | T | | | | | |
| 115. Royal Bank of Canada Callable 11/15/23 at 100.00 Moody A1 S&P A | B | Interest | K | T | Buy | 11/10/22 | K | | |
| 116. Royce Fd Total Return Fd Consultant | A | Dividend | J | T | | | | | |
| 117. Royce Fund - PAMutual Fund Consultant CI | A | Dividend | J | T | | | | | |
| 118. Royce Fund - PAMutual Fund Consultant CI | B | Dividend | K | T | | | | | |
| 119. Royce Small Cap Total Return Fund Consultant CI | D | Dividend | J | T | Buy | 11/17/22 | J | | |

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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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| **Arcara, Richard J.** | 02/07/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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|---|---|---|---|---|---|---|---|---|---|
| 120. SRH Total Return Fund Inc Common Stock | B | Dividend | K | T | Buy | 04/29/22 | K | | |
| 121. Templeton Foreign Fd CI A | A | Dividend | K | T | | | | | |
| 122. Thredup Inc Class A (Y) | | | | | | | | | |
| 123. Thornburg Intl Value Fund CI. A | A | Dividend | K | T | | | | | |
| 124. Triton International LTD 6.875% Series D 3/15/25 | B | Interest | K | T | | | | | |
| 125. Trst for Advised Port Miller Opport TR CL A | C | Dividend | K | T | | | | | |
| 126. Trst for Advised Port Miller Opport TR CL A | C | Dividend | J | T | | | | | |
| 127. Trst for Advised Port Miller Opport TR CI A | A | Dividend | J | T | | | | | |
| 128. Trst for Advised Port Miller Opport TR CL C | C | Dividend | K | T | | | | | |
| 129. UIT AAM High 50 Divid Strategy Port Ser 2021-3Q Reinvest | B | Dividend | | | Redeemed | 12/16/22 | K | | |
| 130. UIT AAM High 50 Divid Strategy Port Ser 2022-2Q Reinvest | B | Dividend | K | T | Buy | 08/17/22 | K | | |
| 131. UIT AAM High 50Divid Strategy Port Ser 2022-4Q Reinvest | B | Dividend | K | T | Buy | 12/15/22 | K | | |
| 132. UIT FT Amem Recovery Prtfolio Ser Semi Annual Reinvest 4/21/22 | A | Dividend | | | Redeemed | 04/25/22 | K | D | |
| 133. Virtus Invt TR NFJ Divid Valye Fd CI A (formerly Allianzgi Divid Value | D | Dividend | K | T | | | | | |
| 134. United Continental Holdings Inc Senior Notes | A | Interest | K | T | Buy | 03/14/22 | K | | |
| 135. United States Treasury Note 3.0% | | None | L | T | Buy | 07/18/22 | L | | |
| 136. United States Treasury Note 4.25% | | None | L | T | Buy | 10/24/22 | M | | |

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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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|---|---|---|---|---|---|---|---|---|---|
| 137. Wells Fargo & Company 4.375% Dep Shs callable 3/15/26 | B | Dividend | K | T | | | | | |
| 138. Western Asset Diversified Income Fund Common Share | B | Dividend | J | T | | | | | |
| 139. Western Asset High Yield Defined Opportunity Fd | C | Dividend | K | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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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| | 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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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

| Name of Person Reporting | Date of Report |
|---|---|
| **Arcara, Richard J.** | 02/07/2024 |

## 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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.**

**Signature: s/ Richard J. Arcara**

**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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544