AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
CAPRONI, VALERIE E.	SOUTHERN DISTRICT OF NEW YORK	07/11/2022
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**
ACTIVE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	01/01/2021 **to** 12/31/2021
	5b. ☐ Amended Report	
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.		

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.)*

	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 AND TYPE
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.)*

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

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.			

Name of Person Reporting	Date of Report
CAPRONI, VALERIE E.	07/11/2022

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
1. BROKERAGE ACCOUNT #1(H)									
2. -- APPLE INC. COMMON STOCK	A	Dividend	M	T					
3. --CIGNA CORP. COMMON STOCK	A	Dividend	K	T					
4. -- CISCO SYSTEMS INC. COMMON STOCK	B	Dividend	L	T					
5. --CLEAN ENERGY FUELS COMMON STOCK		None	J	T	Buy (add'l)	01/13/21	J		
6.					Buy (add'l)	01/27/21	J		
7.					Buy (add'l)	03/04/21	J		
8.					Buy (add'l)	12/06/21	J		
9. -- FORD MOTOR CO. COMMON STOCK	A	Dividend	K	T					
10. -- INTEL CORP. COMMON STOCK	B	Dividend	L	T					
11. --MERCK & CO. COMMON STOCK	C	Dividend	L	T					
12. --MONDELEZ INTERNATIONSL CLASS A COMMON STOCK	A	Dividend	J	T					
13. --ORGANON & cO., COMMON STOCK	A	Dividend	J	T	Spinoff (from line 11)	01/11/21	J		
14.					Sold (part)	06/30/21	J	A	
15. --PFIZER INC. COMMON STOCK	B	Dividend	L	T					
16. --RENEWABLE ENERGY GROUP COMMON STOCK		None	K	T	Sold (part)	09/01/21	J	A	
17.					Buy (add'l)	12/09/21	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
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
CAPRONI, VALERIE E.	07/11/2022

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
18. --SYNOVUS FINANCIAL CORP. COMMON STOCK	A	Dividend	K	T					
19. --VIATRIS INC. COMMON STOCK	A	Dividend	J	T	Buy (add'l)	01/06/21	J		
20. --WALT DISNEY CO. COMMON STOCK		None	L	T					
21. --KRANESHARES GLOBAL CARBON STRATEGY ETF	A	Dividend	J	T	Buy	09/21/21	J		
22. --GABELLI SMALL CAP GROWTH FUND	C	Dividend	J	T					
23. --SCHWAB 1000 INDEX FUND	D	Dividend	N	T					
24. --SCHWAB FUNDAMENTAL US SMALL CO. INDEX FUND	A	Dividend	K	T	Buy (add'l)	01/21/21	J		
25.					Buy (add'l)	02/23/21	J		
26.					Buy (add'l)	03/23/21	J		
27.					Buy (add'l)	04/21/21	J		
28.					Buy (add'l)	05/21/21	J		
29.					Buy (add'l)	06/22/21	J		
30.					Buy (add'l)	07/21/21	J		
31.					Buy (add'l)	08/23/21	J		
32.					Buy (add'l)	09/21/21	J		
33.					Buy (add'l)	10/21/21	J		
34.					Buy (add'l)	11/23/21	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	
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		

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CAPRONI, VALERIE E.	07/11/2022

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	12/21/21	J		
36. --SCHWAB INTERNATIONAL INDEX FUND	A	Dividend	K	T	Buy (add'l)	01/21/21	J		
37.					Buy (add'l)	02/08/21	J		
38.					Buy (add'l)	02/23/21	J		
39.					Buy (add'l)	03/08/21	J		
40.					Buy (add'l)	03/23/21	J		
41.					Buy (add'l)	04/06/21	J		
42.					Buy (add'l)	04/21/21	J		
43.					Buy (add'l)	05/06/21	J		
44.					Buy (add'l)	05/21/21	J		
45.					Buy (add'l)	06/08/21	J		
46.					Buy (add'l)	06/22/21	J		
47.					Buy (add'l)	07/07/21	J		
48.					Buy (add'l)	07/21/21	J		
49.					Buy (add'l)	08/06/21	J		
50.					Buy (add'l)	08/23/21	J		
51.					Buy (add'l)	09/08/21	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	
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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☐ 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)	D. (5) Identity of buyer/seller (if private transaction)
52.					Buy (add'l)	09/21/21	J		
53.					Buy (add'l)	10/06/21	J		
54.					Buy (add'l)	10/21/21	J		
55.					Buy (add'l)	11/08/21	J		
56.					Buy (add'l)	11/23/21	J		
57.					Buy (add'l)	12/07/21	J		
58.					Buy (add'l)	12/21/21	J		
59.	--LAUDUS INTERNATIONAL MARKETMASTERS FUND	D	Dividend	M	T				
60.	--USAA INCOME FUND	A	Dividend	K	T	Buy (add'l)	01/06/21	J		
61.						Buy (add'l)	02/08/21	J		
62.						Buy (add'l)	03/08/21	J		
63.						Buy (add'l)	04/06/21	J		
64.						Buy (add'l)	05/06/21	J		
65.						Buy (add'l)	06/08/21	J		
66.						Buy (add'l)	07/07/21	J		
67.						Buy (add'l)	08/06/21	J		
68.						Buy (add'l)	09/08/21	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	
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	
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69.					Buy (add'l)	10/06/21	J		
70.					Buy (add'l)	11/08/21	J		
71.					Buy (add'l)	12/07/21	J		
72. --VANGUARD INTERMEDIATE TAX EXEMPT FUND	A	Dividend	K	T					
73. --VANGUARD SHORT TERM INVESTMENT GRADE FUND	A	Dividend	J	T					
74. --SCHWAB VALUE ADVANTAGE MONEY FUND	A	Dividend	K	T	Buy (add'l)	01/06/21	J		
75.					Sold (part)	01/26/21	J	A	
76.					Sold (part)	03/03/21	J	A	
77.					Sold (part)	03/26/21	J	A	
78.					Sold (part)	04/27/21	J	A	
79.					Buy (add'l)	05/28/21	J		
80.					Buy (add'l)	06/25/21	J		
81.					Sold (part)	08/10/21	J	A	
82.					Buy (add'l)	12/22/21	J		
83. --SCHWAB BANK DEPOSIT ACCOUNT	A	Interest	J	T					
84. BROKERAGE ACCOUNT #2 (H)									
85. --FIDELITY GOVERNMENT MONEY MARKET FUND	A	Dividend	K	T	Sold (part)	07/26/21	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

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
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3. Value Method Codes (See Column C2)
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86. --FIDELITY INTERNATIONAL GROWTH FUND	A	Dividend	K	T					
87. --FIDELITY MID-CAP ENHANCED INDEX FUND	B	Dividend	J	T	Buy	05/28/21	J		
88. --FIDELITY EMERGING MARKETS INDEX FUND	A	Dividend	K	T					
89. --NORTHROP GRUMMAN COMMON STOCK	E	Dividend	P1	T	Sold (part)	04/29/21	K	E	
90. BROKERAGE ACCOUNT #3 (H)									
91. --FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	K	T	Sold (part)	11/30/21	J	A	
92. --FIDELITY 500 INDEX FUND	A	Dividend	K	T					
93. --FIDELITY MIDCAP ENHANCED INDEX FUND	B	Dividend	J	T					
94. --BLACKROCK GLOBAL ALLOCATION FUND	B	Dividend	K	T					
95. --VANGUARD FTSE ALL WORLD EX US INDEX FUND ADMIRAL SHARES	A	Dividend	K	T					
96. --FIDELITY CORPORATE BOND FUND	A	Dividend	J	T					
97. --VANGUARD EXTENDED MARKETS INDEX FUND	A	Dividend	J	T					
98. --WISDOM TREE EMERGING MARKETS HIGH DIVIDEND FUND	A	Dividend			Sold	05/12/21	K	A	
99. BROKERAGE ACCOUNT #4(H)									
100. --FIDELITY GOVERNMENT MONEY MARKET	A	Int./Div.	M	T	Sold (part)	07/26/21	J	A	
101. --FIDELITY INTERNATIONAL GROWTH FUND	C	Dividend	M	T	Buy (add'l)	01/04/21	J		
102.					Buy (add'l)	03/03/21	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
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

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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 (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)	D. (5) Identity of buyer/seller (if private transaction)
103. --FIDELITY INTERNATIONAL CAPITAL APPRECIATION FUND	E	Dividend	N	T	Sold (part)	01/04/21	K	D	
104.					Buy (add'l)	08/27/21	J		
105. --FIDELITY MIDCAP ENHANCED INDEX FUND	E	Dividend	M	T	Buy (add'l)	08/27/21	K		
106. --FIDELITY FOCUSED STOCK FUND	D	Dividend	N	T	Sold (part)	01/04/21	K	D	
107.					Sold (part)	08/27/21	M	E	
108. --FIDELITY FUND(X)	E	Dividend	N	T	Buy (add'l)	08/27/21	L		
109. --FIDELITY VALUE STRATEGIES FUND	D	Dividend	M	T	Buy (add'l)	01/04/21	K		
110.					Sold (part)	08/27/21	J	C	
111. --AQR MANAGED FUTURES STRATEGIES FUND	A	Distribution	J	T					
112. --PIMCO ALL ASSET ALL AUTHORITY INSTITUTIONAL CLASS	C	Dividend	K	T					
113. --PGIM JENNISON NATURAL RESOURCES FUND	A	Dividend	K	T					
114. --VANGUARD MARKET NEUTRAL FUND	A	Dividend	K	T					
115. --FIDELITY NEW MARKETS INCOME FUND	B	Dividend	K	T					
116. --FIDELITY INVESTMENT GRADE BOND FUND	B	Dividend	M	T	Buy (add'l)	08/27/21	J		
117.					Buy (add'l)	08/30/21	J		
118. --FIDELITY GNMA FUND	A	Dividend	L	T	Buy (add'l)	08/30/21	J		
119. --FIDELITY MORTGAGE SECURITIES BOND FUND	B	Dividend	M	T	Buy (add'l)	01/04/21	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

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
CAPRONI, VALERIE E.	07/11/2022

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
120.					Buy (add'l)	08/27/21	J		
121. --FIDELITY INTERMEDIATE GOVERNMENT INCOME FUND	A	Dividend	M	T	Buy (add'l)	01/04/21	K		
122.					Buy (add'l)	08/30/21	K		
123. --FIDELITY TOTAL BOND FUND	B	Dividend	M	T	Buy (add'l)	01/05/21	J		
124.					Buy (add'l)	08/30/21	K		
125. --PGIM SHORT DURATION HIGH YIELD INCOME FUND	B	Dividend	K	T					
126. --TEMPLETON GLOBAL TOTAL RETURN FUND	C	Dividend	K	T					
127. --VAN ECK UNCONSTRAINED EMERGING MARKETS BOND FUND	A	Dividend	K	T					
128. --FIDELITY EXPORT AND MULTINATIONAL FUND	A	Dividend			Buy (add'l)	01/05/21	J		
129.					Buy (add'l)	03/03/21	J		
130.					Merged (with line 108)	04/16/21	M		
131. --VAN ECK GLOBAL HARD ASSETS FUND					Sold	02/19/21	K	A	
132. JPMORGAN CHASE CASH ACCOUNTS	A	Interest	J	T					
133. CITIBANK CASH ACCOUNTS	A	Interest	K	T					
134. US SAVINGS BONDS		None	K	T					
135. 401K (H)									
136. --NORTHROP GRUMMAN US FIXED INCOME FUND		None	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
CAPRONI, VALERIE E.	07/11/2022

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
137. --NORTHROP GRUMMAN INTERNATIONAL EQUITY FUND		None	K	T					
138. --NORTHROP GRUMMAN EMERGING MARKETS EQUITY FUND		None	J	T					
139. --NORTHROP GRUMMAN SMALL CAP FUND		None	J	T					
140. NATIONAL LIFE INSURANCE WHOLE LIFE POLICIES	A	Dividend	K	T					
141. 529 COLLEGE SAVINGS ACCOUNT (H)									
142. --FIDELITY NH PORTFOLIO 2033		None	J	T	Buy (add'l)	05/10/21	J		
143.					Buy (add'l)	11/30/21	J		
144. --FIDELITY NH PORTFOLIO 2036		None	J	T	Buy (add'l)	04/06/21	J		
145.					Buy (add'l)	04/26/21	J		
146.					Buy (add'l)	11/30/21	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	
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		

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

PART VII, LINES 135-39: 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 THE 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.

Name of Person Reporting	Date of Report
CAPRONI, VALERIE E.	07/11/2022

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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Washington, D.C. 20544