AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

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
CAPRONI, VALERIE E.	SOUTHERN DISTRICT OF NEW YORK	04/29/2024
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**
ACTIVE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
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 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.	SECRETARY AND MEMBER OF BOARD	RESIDENTIAL COOP IN NEW YORK, NY
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.	SEAK, INC	5/5-5/7/2023	CLEARWATER, FL	SPEAK AT ANNUAL CONFERENCE	HOTEL ROOM; TRANSPORTATION; MEALS
2.	ALI/CLE	6/9/23	WASHINGTON, DC	SPEAK AT ENVIRONMENTAL LITIGATION CONFERENCE	TRANSPORTATION; MEALS
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
CAPRONI, VALERIE E.	04/29/2024

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. 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)	01/20/23	J		
6. -- FORD MOTOR CO. COMMON STOCK	B	Dividend	K	T					
7. -- INTEL CORP. COMMON STOCK	A	Dividend	L	T	Buy (add'l)	01/20/23	J		
8. --MERCK & CO. COMMON STOCK	C	Dividend	M	T					
9. --MONDELEZ INTERNATIONAL CLASS A COMMON STOCK	A	Dividend	J	T					
10. --ORGANON & CO., COMMON STOCK	A	Dividend	J	T					
11. --PFIZER INC. COMMON STOCK	C	Dividend	K	T	Sold (part)	12/01/23	K		
12. --SYNOVUS FINANCIAL CORP. COMMON STOCK	A	Dividend	K	T					
13. --VIATRIS INC. COMMON STOCK	A	Dividend	J	T	Buy (add'l)	01/20/23	J		
14. --WALT DISNEY CO. COMMON STOCK		None	K	T					
15. --KRANESHARES GLOBAL CARBON STRATEGY ETF	A	Dividend	J	T	Buy (add'l)	01/30/23	J		
16. --SCHWAB 1000 INDEX FUND	C	Dividend	N	T	Buy (add'l)	01/06/23	J		
17.					Buy (add'l)	04/06/23	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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18.					Buy (add'l)	07/06/23	J		
19.					Buy (add'l)	10/06/23	J		
20. --SCHWAB FUNDAMENTAL US SMALL CO. INDEX FUND	A	Dividend	K	T	Buy (add'l)	01/06/23	J		
21.					Buy (add'l)	02/07/23	J		
22. --SCHWAB INTERNATIONAL INDEX FUND	B	Dividend	K	T	Buy (add'l)	01/06/23	J		
23.					Buy (add'l)	04/06/23	J		
24.					Buy (add'l)	10/06/23	J		
25. --SCHWAB INTERNATIONAL OPPORTUNITIES FUND	B	Dividend	L	T					
26. --VICTORY INCOME FUND (X)	A	Dividend	J	T	Buy (add'l)	01/06/23	J		
27.					Buy (add'l)	03/07/23	J		
28.					Buy (add'l)	06/05/23	J		
29.					Buy (add'l)	09/06/23	J		
30.					Sold (part)	12/01/23	J		
31.					Buy (add'l)	12/06/23	J		
32. --VANGUARD INTERMEDIATE TAX EXEMPT FUND	A	Dividend	K	T					
33. --VANGUARD SHORT TERM INVESTMENT GRADE FUND	A	Dividend	J	T					
34. --SCHWAB VALUE ADVANTAGE MONEY FUND	A	Dividend	K	T	Sold (part)	04/20/23	J		

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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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35.						Sold (part)	05/22/23	J		
36.						Sold (part)	07/07/23	J		
37.						Buy (add'l)	12/11/23	K		
38.	--SCHWAB BANK DEPOSIT ACCOUNT	A	Interest	J	T					
39.	BROKERAGE ACCOUNT #2 (H)									
40.	--FIDELITY GOVERNMENT MONEY MARKET FUND	A	Dividend	J	T	Sold (part)	01/23/23	J		
41.						Buy (add'l)	03/15/23	J		
42.						Sold (part)	05/10/23	J		
43.						Buy (add'l)	06/14/23	J		
44.						Sold (part)	06/23/23	J		
45.						Sold (part)	06/30/23	J		
46.						Sold (part)	12/01/23	J		
47.						Buy (add'l)	12/14/23	J		
48.						Sold (part)	12/20/23	J		
49.	--FIDELITY INTERNATIONAL GROWTH FUND	A	Dividend	K	T					
50.	--FIDELITY ENHANCED MIDCAP ETF (X)	A	Dividend	K	T					
51.	--NORTHROP GRUMMAN COMMON STOCK	E	Dividend	P1	T	Donated (part)				

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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52. BROKERAGE ACCOUNT #3 (H)									
53. --FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T	Sold (part)	12/14/23	J	A	
54. --FIDELITY 500 INDEX FUND	A	Dividend	K	T					
55. --FIDELITY ENHANCED MIDCAP ETF (X)	A	Dividend	K	T					
56. --BLACKROCK GLOBAL ALLOCATION FUND	A	Dividend	K	T					
57. --VANGUARD FTSE ALL WORLD EX US INDEX FUND ADMIRAL SHARES	A	Dividend	K	T					
58. --FIDELITY CORPORATE BOND FUND	C	Dividend	K	T					
59. --VANGUARD EXTENDED MARKETS INDEX FUND	A	Dividend	J	T					
60. BROKERAGE ACCOUNT #4(H)									
61. --FIDELITY GOVERNMENT MONEY MARKET	C	Int./Div.	M	T					
62. --FIDELITY INTERNATIONAL GROWTH FUND	A	Dividend	M	T	Sold (part)	08/07/23	J	A	
63. --FIDELITY INTERNATIONAL CAPITAL APPRECIATION FUND	A	Dividend	N	T	Sold (part)	08/07/23	J	A	
64. --FIDELITY ENHANCED MIDCAP ETF (X)	B	Dividend	M	T	Sold (part)	08/07/23	J	A	
65. --FIDELITY FOCUSED STOCK FUND	B	Dividend	N	T	Sold (part)	08/07/23	J	B	
66. --FIDELITY FUND	D	Dividend	N	T	Sold (part)	08/07/23	J	A	
67. --FIDELITY VALUE STRATEGIES FUND	C	Dividend	M	T	Sold (part)	08/07/23	J	B	
68. --PIMCO ALL ASSET ALL AUTHORITY INSTITUTIONAL CLASS	A	Dividend	K	T					

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69. --FIDELITY NEW MARKETS INCOME FUND	B	Dividend	K	T					
70. --FIDELITY INVESTMENT GRADE BOND FUND	C	Dividend	M	T	Buy (add'l)	08/07/23	J		
71. --FIDELITY GNMA FUND	B	Dividend	L	T	Buy (add'l)	08/08/23	J		
72. --FIDELITY MORTGAGE SECURITIES BOND FUND	D	Dividend	M	T	Buy (add'l)	08/07/23	K		
73. --FIDELITY INTERMEDIATE GOVERNMENT INCOME FUND	B	Dividend	M	T	Buy (add'l)	08/07/23	J		
74. --FIDELITY TOTAL BOND FUND	C	Dividend	M	T	Buy (add'l)	08/07/23	J		
75. --PGIM SHORT DURATION HIGH YIELD INCOME FUND	B	Dividend	K	T					
76. --TEMPLETON GLOBAL TOTAL RETURN FUND	B	Dividend	K	T					
77. --VAN ECK EMERGING MARKETS BOND FUND (X)	B	Dividend	K	T					
78. JPMORGAN CHASE CASH ACCOUNTS	A	Interest	J	T					
79. CITIBANK CASH ACCOUNTS	A	Interest	L	T					
80. US SAVINGS BONDS		None	K	T					
81. 401K (H)									
82. --NORTHROP GRUMMAN US FIXED INCOME FUND		None	J	T					
83. --NORTHROP GRUMMAN INTERNATIONAL EQUITY FUND		None	K	T					
84. --NORTHROP GRUMMAN EMERGING MARKETS EQUITY FUND		None	J	T					
85. --NORTHROP GRUMMAN SMALL CAP FUND		None	J	T					

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86. NATIONAL LIFE INSURANCE WHOLE LIFE POLICIES	A	Dividend	K	T					
87. 529 COLLEGE SAVINGS ACCOUNT (H)									
88. --FIDELITY NH PORTFOLIO 2033		None	K	T	Buy (add'l)	05/10/23	J		
89.					Buy (add'l)	12/14/23	J		
90. --FIDELITY NH PORTFOLIO 2036		None	J	T	Buy (add'l)	12/01/23	J		
91.					Buy (add'l)	12/14/23	J		

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

PART VII, LINE 26: THIS FUND CHANGED ITS NAME DURING THE REPORTING PERIOD. IT WAS PREVIOUSLY REPORTED AS USAA INCOME FUND.

PART VII, LINES 50, 55 AND 64: THIS FUND MERGED DURING THE REPORTING PERIOD AND BECAME FIDELITY ENHANCED MIDCAP ETF.

PART VII, LINE 77: THE NAME OF THIS FUND WAS ERRONEOUSLY REPORTED AS VAN ECK UNCONSTRAINED EMERGING BOND FUND.

PART VII, LINES 81-85: 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
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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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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