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 |
|---|---|---|
| Dearie, Raymond J. | Eastern District of New York | 07/31/2023 |
| **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** |
| United States District Judge, Senior Status | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022<br>**to**<br>12/31/2022 |
| **7. Chambers or Office Address** | | |
| United States Courthouse<br>Room 910<br>225 Cadman Plaza East<br>Brooklyn, NY 11201 | | |

***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 |
|---|---|
| **Dearie, Raymond J.** | 07/31/2023 |

## 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 | | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | | (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) | |
| 1. | Citibank Checking and Savings | A | Interest | M | T | | | | | |
| 2. | Citibank IRS Money Market AIC | A | Interest | J | T | | | | | |
| 3. | I.R.E.B. Federal Credit Union - Regular Shares | A | Interest | K | T | | | | | |
| 4. | USAA Checking and Savings (X) | A | Interest | J | T | | | | | |
| 5. | Central Bank of St. Louis (X) | A | Interest | J | T | | | | | |
| 6. | Municipal Credit Union (X) | A | Interest | J | T | | | | | |
| 7. | Apple | A | Dividend | J | T | | | | | |
| 8. | Berkshire Hathaway Inc.(X) common stock | A | Dividend | K | T | | | | | |
| 9. | Chevron Corp comon stock | A | Dividend | J | T | | | | | |
| 10. | Duke Energy common stock | A | Int./Div. | J | T | | | | | |
| 11. | General Mills common stock | A | Int./Div. | J | T | | | | | |
| 12. | Houghton Mifflin Hartcourt Co. common stock | D | Int./Div. | J | T | | | | | |
| 13. | McCormick & Company common stock | A | Int./Div. | J | T | | | | | |
| 14. | Meta Platform Inc. common stock | D | Int./Div. | J | T | | | | | |
| 15. | Microsoft Common Stock | A | Int./Div. | J | T | | | | | |
| 16. | Nike common stock | A | Dividend | J | T | | | | | |
| 17. | Plug Power | A | Int./Div. | J | T | Buy | 04/20/22 | 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 | | |
| 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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| **Dearie, Raymond J.** | 07/31/2023 |

## 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<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. Simon Property Group common stock | A | Int./Div. | J | T | | | | | |
| 19. Shopify | A | Int./Div. | J | T | Buy | 01/20/22 | J | | |
| 20. Starbucks common stock | A | Int./Div. | J | T | | | | | |
| 21. Union Pacific common stock | A | Int./Div. | J | T | | | | | |
| 22. Visa Inc. | A | Int./Div. | J | T | | | | | |
| 23. Wal-Mart common stock | D | Int./Div. | J | T | | | | | |
| 24. Walt Disney common stock | A | Int./Div. | J | T | | | | | |
| 25. MFS Global Equity Fund CL A | A | Int./Div. | J | T | | | | | |
| 26. Federated Muni & Stock ADV F | A | Int./Div. | J | T | | | | | |
| 27. JP Morgan Chase | A | Int./Div. | J | T | | | | | |
| 28. Edward Jones Investment - Act (H) | | | | | | | | | |
| 29. Bridge Builder Bond Fund | A | Int./Div. | J | T | | | | | |
| 30. Bridge Builder Core Plus Bond Assoc. | A | Int./Div. | J | T | Sold (part) | 06/13/22 | J | | |
| 31. Columbia Small Cap Value I | A | Int./Div. | J | T | | | | | |
| 32. Dimenional DFA Int'l Value Fund | A | Int./Div. | J | T | | | | | |
| 33. Dodge & Cox Stock | A | Int./Div. | J | T | | | | | |
| 34. Europacific Growth | A | Int./Div. | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =$1,000 or less<br>F =$50,001 - $100,000 | B =$1,001 - $2,500<br>G =$100,001 - $1,000,000 | C =$2,501 - $5,000<br>H1 =$1,000,001 - $5,000,000 | D =$5,001 - $15,000<br>H2 =More than $5,000,000 | E =$15,001 - $50,000 |
| 2 Value Codes<br>(See Columns C1 and D3) | J =$15,000 or less<br>N =$250,001 - $500,000<br>P3 =$25,000,001 - $50,000,000 | K =$15,001 - $50,000<br>O =$500,001 - $1,000,000 | L =$50,001 - $100,000<br>P1 =$1,000,001 - $5,000,000<br>P4 =More than $50,000,000 | M =$100,001 - $250,000<br>P2 =$5,000,001 - $25,000,000 | |
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| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 35. Franklin Mutual Shares | A | Int./Div. | J | T | | | | | |
| 36. Ironbridge Smid Cap | A | Int./Div. | J | T | | | | | |
| 37. Jh Disciplined Value Mid Cap | A | Int./Div. | J | T | | | | | |
| 38. JP Morgan Fed Mon Mkt | A | Int./Div. | J | T | | | | | |
| 39. MFS Int'l Value | A | Int./Div. | J | T | | | | | |
| 40. Pimco Total Return IV (X) | A | Int./Div. | J | T | | | | | |
| 41. Prudential High Yield | A | Int./Div. | J | T | | | | | |
| 42. Prudential Jenn Mid Cap GR | A | Int./Div. | J | T | | | | | |
| 43. T. Rowe Price Instl Lrge Cp G (X)R | B | Int./Div. | J | T | | | | | |
| 44. T. Rowe Price Int'l Stock (X) | A | Int./Div. | J | T | | | | | |
| 45. Victory Small Company Opport | A | Int./Div. | J | T | | | | | |
| 46. Edward Jones Act. 2 - Roth IRA (X) (H) | | | | | | | | | |
| 47. AFS Int'l Growth Fund CL I | A | Int./Div. | J | T | | | | | |
| 48. Ally Bk Sandy Utah | A | Int./Div. | J | T | | | | | |
| 49. Amazon Com Ins | A | Int./Div. | J | T | | | | | |
| 50. American Cap Inc. | A | Int./Div. | J | T | | | | | |
| 51. American Balanced | A | Int./Div. | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| A | B | | C | | D | | | | |
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| 52. American Balanced F3 | A | Int./Div. | J | T | | | | | |
| 53. American Express | A | Int./Div. | J | T | | | | | |
| 54. American Inc. Fund | A | Int./Div. | J | T | | | | | |
| 55. AT & T | A | Int./Div. | J | T | | | | | |
| 56. Alphabet Inc. | A | Int./Div. | J | T | | | | | |
| 57. Artisian Int'l Value | A | Int./Div. | J | T | Sold (part) | 11/22/22 | J | | |
| 58. Blackrock | A | Int./Div. | J | T | | | | | |
| 59. Blackrock High Yield | A | Int./Div. | J | T | Sold (part) | 04/07/22 | J | | |
| 60. Boeing | A | Int./Div. | J | T | | | | | |
| 61. Bridge Builder Bond Fund | A | Int./Div. | J | T | | | | | |
| 62. Bridge Builder Large Growth | A | Int./Div. | J | T | Sold (part) | 11/22/22 | J | | |
| 63. Cba Aggressive Growht I | A | Int./Div. | J | T | | | | | |
| 64. Citibank Nat'l Assn. | A | Int./Div. | J | T | | | | | |
| 65. Columbia Acorn Int'l | A | Int./Div. | J | T | | | | | |
| 66. Core US Aggregate | A | Int./Div. | J | T | | | | | |
| 67. Discover Bank CD | A | Int./Div. | J | T | | | | | |
| 68. Dimensional Int'l Small Co. Fund | A | Int./Div. | J | T | | | | | |

| | | | | | |
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| 69. Dodge & Cox Stock | A | Int./Div. | J | T | | | | | |
| 70. Franklin Mutual Shares CI Z | A | Int./Div. | J | T | | | | | |
| 71. Fundamental Investors | A | Int./Div. | J | T | | | | | |
| 72. Goldman Sachs Bank | A | Int./Div. | J | T | | | | | |
| 73. Goldman Fs Gov't | A | Int./Div. | J | T | | | | | |
| 74. Graneur Peak Int'l | A | Int./Div. | J | T | Buy | 11/22/22 | J | | |
| 75. Harbor Capital Appreciation | A | Int./Div. | J | T | | | | | |
| 76. Invesco Cornstock | A | Int./Div. | J | T | | | | | |
| 77. Invesco Op Global Opport R6 | A | Int./Div. | J | T | | | | | |
| 78. JP Morgan Emerging Markets | A | Int./Div. | J | T | | | | | |
| 79. JP Morgan Fed Mon Mkt | A | Int./Div. | J | T | | | | | |
| 80. JP Morgan High Yield | A | Int./Div. | K | T | | | | | |
| 81. JP Morgan High Yield | A | Int./Div. | K | T | | | | | |
| 82. JP Morgan Mid Cap Value Instl | A | Int./Div. | K | T | | | | | |
| 83. JP Morgan US Gov't Money Market Fund | A | Int./Div. | J | T | | | | | |
| 84. Loomis Sayles INV Grade BD | A | Int./Div. | J | T | | | | | |
| 85. Metropolitan West Ttl Red Bd | A | Int./Div. | J | T | | | | | |

| | | | | | |
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| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
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| 86. MFS Global Growth | A | Int./Div. | J | T | | | | | |
| 87. MFS International Value | A | Int./Div. | J | T | | | | | |
| 88. MFS Value | A | Int./Div. | J | T | | | | | |
| 89. Morgan Stanley Private | A | Int./Div. | J | T | | | | | |
| 90. MSCI EAFE Value ETF | A | Int./Div. | J | T | | | | | |
| 91. MSCI EAFE Growth ETF | A | Int./Div. | J | T | | | | | |
| 92. MSCI EAFE Small Cap | A | Int./Div. | J | T | | | | | |
| 93. Pimco Total Return IV | A | Int./Div. | J | T | | | | | |
| 94. Prudential High-Yield | A | Int./Div. | J | T | | | | | |
| 95. Russ 2000 ETF | A | Int./Div. | J | T | | | | | |
| 96. Russ 1000 Value ETF | A | Int./Div. | J | T | | | | | |
| 97. Russ MC Value ETF | A | Int./Div. | J | T | | | | | |
| 98. Russ MC Growth ETF | A | Int./Div. | J | T | | | | | |
| 99. S & P 500 Growth ETF | A | Int./Div. | J | T | | | | | |
| 100. T. Rowe Price Blue Ship Gr | A | Int./Div. | J | T | | | | | |
| 101. T. Rowe Price Intl Bond | A | Int./Div. | J | T | | | | | |
| 102. Vanguard TH BD Mkt ETF | A | Int./Div. | J | T | | | | | |

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|---|---|---|---|---|---|
| 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 |
|---|---|
| **Dearie, Raymond J.** | 07/31/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 103. Vanguard Lg Cap ETF | A | Int./Div. | J | T | | | | | |
| 104. Vanguard Value ETF | A | Int./Div. | J | T | | | | | |
| 105. Vanguard FTSE All-World | A | Int./Div. | J | T | Buy (add'l) | 11/22/22 | J | | |
| 106. Visa Inc. | A | Int./Div. | J | T | | | | | |
| 107. Edward Jones Act. 3 - Traditional IRA (X) (H) | | | | | | | | | |
| 108. Bridge Builder Bond Fund | A | Int./Div. | J | T | | | | | |
| 109. Bridge Builder Small Mid-Growth | A | Int./Div. | J | T | | | | | |
| 110. Bridge Builder Small Mid-Value | A | Int./Div. | J | T | | | | | |
| 111. Bridge Builder Intl Equity | A | Int./Div. | J | T | Buy (add'l) | 11/22/22 | J | | |
| 112. Dodge & Cox Stock | A | Int./Div. | J | T | | | | | |
| 113. Fundamental Investors | A | Int./Div. | J | T | | | | | |
| 114. Harbor Capital Appreciation | A | Int./Div. | J | T | | | | | |
| 115. Invesco Cornstock | A | Int./Div. | J | T | | | | | |
| 116. JP Morgan Fed Mon Mkt | A | Int./Div. | J | T | | | | | |
| 117. JP Morgan High Yield | A | Int./Div. | J | T | | | | | |
| 118. JP Morgan Mid Cap Value | A | Int./Div. | J | T | | | | | |
| 119. Loomis Sayles Inv Grade Bd | A | Int./Div. | 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 | |
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| 3 Value Method Codes (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
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| Name of Person Reporting | Date of Report |
|---|---|
| **Dearie, Raymond J.** | 07/31/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 120. Metropolitan West Ttl Ret Bd | A | Int./Div. | J | T | | | | | |
| 121. MFS Value | A | Int./Div. | J | T | | | | | |
| 122. Pimco Total Return IV | A | Int./Div. | J | T | | | | | |
| 123. Prudential Jenn Mid Cap Gr | A | Int./Div. | J | T | | | | | |
| 124. Ranier Small/Mid Cap Eq Instl | A | Int./Div. | J | T | | | | | |
| 125. Scout Int'l | A | Int./Div. | J | T | | | | | |
| 126. T. Rowe Price Blue Chip Gr | A | Int./Div. | J | T | | | | | |
| 127. T. Rowe Price Intl Bd | A | Int./Div. | J | T | Buy (add'l) | 11/22/22 | J | | |
| 128. T. Rowe Price Intl Stock | A | Int./Div. | J | T | | | | | |
| 129. Federate Municipal & Stock Advantage Fund | A | Int./Div. | J | T | | | | | |
| 130. Rollover IRA (H) Mutual Funds | | | | | | | | | |
| 131. JP Morgan Large Cap Growth | A | Int./Div. | K | T | | | | | |
| 132. Newberger Berman Mid Cap Growth | A | Interest | J | T | | | | | |
| 133. Newberger Int'l Equity Fund | A | Int./Div. | K | T | Buy (add'l) | 09/08/22 | J | | |
| 134. Clearbridge Small Cap Grw Cl A | A | Int./Div. | J | T | | | | | |
| 135. Prudential Jennison Int'l Fund | A | Int./Div. | K | T | | | | | |
| 136. Prudential QMA Small Cap Value | A | Int./Div. | J | T | Sold (part) | 09/08/22 | 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 | |
| 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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| Name of Person Reporting | Date of Report |
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| **Dearie, Raymond J.** | 07/31/2023 |

## 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<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 137. Victory Integrity Mid Cap Value | A | Int./Div. | K | T | | | | | |
| 138. Prudential Equities Individual Account (H) | | | | | | | | | |
| 139. Advanced Micro Device | A | Int./Div. | J | T | | | | | |
| 140. Annaly Cap Mgmt. Inc. | A | Int./Div. | J | T | | | | | |
| 141. Annaly Cap Mgmt. Inc. | A | Int./Div. | J | T | | | | | |
| 142. Apple Inc. | A | Int./Div. | J | T | | | | | |
| 143. Berkshire Hathway Inc. | A | Int./Div. | J | T | | | | | |
| 144. Blackrock Large Cap Value Fund | A | Int./Div. | L | T | Sold (part) | 09/08/22 | J | | |
| 145. Calamos High Income Fund | A | Int./Div. | J | T | Buy | 09/08/22 | J | | |
| 146. Celgene Corp. | A | Int./Div. | J | T | | | | | |
| 147. Fleetcor Tech | A | Int./Div. | J | T | | | | | |
| 148. Garmin Ltd. Co. | A | Int./Div. | J | T | | | | | |
| 149. Gilead Sciences Inc. | A | Int./Div. | J | T | | | | | |
| 150. Harmon Int'l Industries Inc. | A | Int./Div. | J | T | | | | | |
| 151. Henry Jack & Assoc. | A | Int./Div. | J | T | | | | | |
| 152. Mastercard Inc. | A | Int./Div. | J | T | | | | | |
| 153. Samsung Elec. | A | Int./Div. | 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

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| Name of Person Reporting | Date of Report |
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| **Dearie, Raymond J.** | 07/31/2023 |

## 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.)*

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|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 154. JP Morgan Chase & Co. | A | Dividend | J | T | | | | | |
| 155. KKR & Co. | A | Dividend | J | T | | | | | |
| 156. Newberger Berman | A | Dividend | J | T | | | | | |
| 157. Stryker Corp | A | Int./Div. | J | T | | | | | |
| 158. TJX Cos Inc. | A | Dividend | J | T | | | | | |
| 159. iShares MSCI EAGE Index Fund | A | Dividend | J | T | Buy | 09/08/22 | J | | |
| 160. IShares Core S & P Small Cap | D | Int./Div. | J | T | Buy | 09/08/22 | J | | |
| 161. SPDR Five Hundred | A | Int./Div. | J | T | | | | | |
| 162. Vanguard Whitehall Funds | A | Dividend | J | T | | | | | |
| 163. Starwood Property Inc. | A | Dividend | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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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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| | U =Book Value | V =Other | W =Estimated | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Dearie, Raymond J.** | 07/31/2023 |

## 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/ Raymond J. Dearie**

**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