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
Dooley, Kari A.	District of Connecticut	04/25/2022
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**
U.S. District Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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.	
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.	

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
Dooley, Kari A.	04/25/2022

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	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)	(5) Identity of buyer/seller (if private transaction)
1. Abbott Labs Stock	A	Dividend	K	T					
2. Abbvie Stock	B	Dividend	K	T					
3. Alphabet Class C		None	M	T					
4. Alphabet Class A		None	M	T					
5. Altria Group Stock	B	Dividend	J	T					
6. Amgen Stock	B	Dividend	K	T					
7. Americn Electrical Power Stock	A	Dividend	K	T					
8. Apple Stock	A	Dividend	M	T					
9. AT&T stock	C	Dividend	K	T					
10. Baxter International Stock	A	Dividend	K	T					
11. Boeing Stock		None	L	T					
12. Carrier stock	A	Dividend	J	T					
13. Caterpillar Stock	A	Dividend	K	T					
14. ViacomCBS Stock	A	Dividend			Sold	12/21/21	J		
15. Centerpoint Energy Stock	A	Dividend	J	T					
16. Chemours (X)	A	Dividend	J	T					
17. Cisco Systems Stock	B	Dividend	L	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

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18. Coca Cola Stock	A	Dividend	K	T					
19. Comcast Stock	A	Dividend	K	T					
20. Conagra Stock	A	Dividend	K	T					
21. ConocoPhillips Stock	A	Dividend	J	T					
22. Corteva	A	Dividend	J	T					
23. Cummins, Inc. Stock	B	Dividend	K	T					
24. Diageo Stock	A	Dividend	K	T					
25. Dow	B	Dividend	K	T	Buy (add'l)	07/02/21	K		
26. Dupont	A	Dividend	K	T					
27. Eli Lilly Stock	A	Dividend	L	T					
28. Exelon Stock	A	Dividend	K	T					
29. Exxon Mobil Stock	C	Dividend	L	T	Buy (add'l)	02/04/21	J		
30. META (formerly Facebook) Stock		None	M	T					
31. G. Willi Food Stock	C	Dividend	K	T					
32. General Dynamics Stock	A	Dividend	K	T					
33. Gilead Stock	A	Dividend	J	T					
34. Hewlett Pckard Stock	A	Dividend	J	T					

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35. Home Depot	B	Dividend	M	T					
36. HP Inc. Stock	A	Dividend	J	T					
37. Intel Stock	B	Dividend	K	T					
38. IBM Stock	C	Dividend	L	T					
39. Russell 2000 I shares	B	Distribution	M	T					
40. Johnson & Johnson Stock	B	Dividend	L	T					
41. JP Morgan Chase Stock	B	Dividend	L	T					
42. Kraft Heinz Stock	A	Dividend	J	T	Buy (add'l)	04/21/21	J		
43. Kyndryl Holdings		None	J	T	Spinoff (from line 38)	11/08/21	J		
44. Lamb Weston Stock	A	Dividend	J	T					
45. Lockheed Martin Stock	B	Dividend	K	T					
46. Lowes Stock	B	Dividend	M	T					
47. LyondellBassell	B	Dividend	K	T	Buy (add'l)	11/19/21	K		
48. Manulife Financial Stock	B	Dividend	K	T	Buy (add'l)	02/16/21	J		
49. McDonalds Stock	B	Dividend	M	T					
50. Merck	B	Dividend	K	T					
51. Microsoft Stock	A	Dividend	M	T					

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52. Mondelez Interntional Stock	A	Dividend	J	T					
53. Motorola Stock	A	Dividend	K	T					
54. National Grid ADRs	A	Dividend	J	T					
55. Norfolk Southern Stock	A	Dividend	L	T					
56. Organon	A	Dividend	J	T	Spinoff (from line 50)	06/07/21	J		
57. Otis Elevator	A	Dividend	J	T					
58. Peoples United Financial Stock	B	Dividend	K	T					
59. Pfizer Stock	B	Dividend	L	T					
60. Philip Morris International Stock	B	Dividend	K	T					
61. Phillips 66 Stock	A	Dividend	J	T					
62. PPL Corp Stock	B	Dividend	K	T	Buy (add'l)	02/09/21	K		
63. Proctor and Gamble Stock	B	Dividend	L	T					
64. Prudential	C	Dividend	L	T					
65. Qualcomm Stock	B	Dividend	L	T					
66. Raytheon Stock	B	Dividend	K	T					
67. Rockwell Automation Stock	A	Dividend	L	T					
68. Royal Dutch Shell ADRs	B	Dividend	K	T					

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69. Dominion Energy	A	Dividend	K	T					
70. S & P 500 ETF	C	Dividend	N	T					
71. Total S.A. Stock	B	Dividend	K	T	Buy (add'l)	07/07/21	K		
72. Travelers Stock	B	Dividend	K	T					
73. US Bancorp Stock	B	Dividend	L	T					
74. Valero Energy Stock	B	Dividend	K	T					
75. Verizon Stock	C	Dividend	L	T					
76. Viatris	A	Dividend	J	T					
77. Walmart Stock	B	Dividend	L	T					
78. American Century Growth Fund	E	Distribution	N	T					
79. American Century Select Fund	E	Distribution	N	T					
80. American Century Heritage Fund	E	Distribution	N	T					
81. American Century Intermediate-Term Tax Free Bond Fund	C	Dividend	M	T					
82. Janus Henderson Forty Fund	E	Distribution	N	T					
83. Janus Henderson Research Fund	E	Distribution	N	T					
84. Jnus Henderson Overseas Fund	B	Distribution	L	T					
85. MFS Value R4 Fund	D	Distribution	M	T	Sold (part)	01/15/21	J	D	

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86. Northern Mid Cap Index Fund	E	Distribution	N	T					
87. Northern Small Cap Index Fund	D	Distribution	M	T					
88. Allspring (formerly Wells Fargo) Target 2025 Fund	D	Distribution	L	T					
89. William Blair International Growth Fund	D	Distribution	M	T					
90. Allianz Global Small Cap Fund	C	Distribution	K	T					
91. MFS Global Fund	A	Distribution	M	T					
92. JP Morgan Income Fund	A	Distribution	K	T					
93. Ford (1/15/21) Bond	B	Interest			Matured	09/15/21	J		
94. Goldman Sachs (1/24/22) Bond	B	Interest	K	T					
95. Viacom (2/4/22) Bond	A	Interest			Matured	03/15/21	K		
96. ConocoPhillips (11/15/24) Bond	A	Interest	K	T					
97. Energy Transfer Partners (1/15/26) Bond	A	Interest	K	T					
98. Ingersoll Rnd (2/15/30) Bond	B	Interest	K	T					
99. Tosco Corp (2/15/30) Bond	B	Interest	K	T					
100. Aegon Preferred Stock	A	Dividend			Matured	09/15/21	J		
101. Puerto Rico Bldg Auth (7/1/17) Bond		None	K	T					
102. CT HEF (7/1/20) Bond (Y)									

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103. Puerto Rico Elec. Pwr Auth (7/1/20) Bond		None	J	T					
104. Hartford CT Municipal (8/15/21) Bond	A	Interest			Matured	08/15/21	J		
105. El Dorado CA Sch Dist. (12/1/21) Bond	B	Interest			Matured	12/01/21	K		
106. Philadelphia PA Sch. Dist. (9/1/22) Bond (Y)									
107. PA ST Sch Bldg Auth (6/1/23) Bond	B	Interest	K	T					
108. CT ST Series E (8/15/23) Bond	B	Interest	K	T					
109. Miami Dade Spl Oblig (10/1/28) Bond	A	Interest	J	T					
110. CT St Series G (10/15/27) Bond	A	Interest	K	T					
111. MD ST Series A ST & Loc (8/1/28) Bond	A	Interest	K	T					
112. CT ST Spl Tax Oblig (10/1/28) Bond	B	Interest	K	T					
113. CT ST HEF (7/1/29) Bond	A	Interest			Matured	07/01/21	J		
114. CT ST Spl Tax Oblig (10/1/30) Bond	A	Interest	J	T					
115. Loomis Sayles Bond Fund	A	Distribution	K	T					
116. Eaton Vance Floating Rate Fund	A	Distribution	K	T					
117. CT Higher Educ. Trust (529 Plans) - age based option	E	Distribution	N	T	Sold (part)	05/13/21	K	D	
118.					Sold (part)	05/26/21	K	D	
119.					Sold (part)	12/08/21	K	D	

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120.					Sold (part)	12/15/21	K	D	
121. Merrill Lynch CMA - cash accounts	A	Interest	O	T					
122. CT 457 Deferred Compensation Plan "BOLD" Option	E	Distribution	O	T					
123. 26 Week Treasury Bill	A	Interest			Matured	06/10/21	L		
124. 26 Week Treasury Bill	A	Interest			Buy	06/10/21	L		
125.					Matured	12/09/21	L		
126. 26 Week Treasury Bill	A	Interest			Buy	05/20/21	L		
127.					Matured	11/18/21	L		
128. 26 Week Treasury Bill	A	Interest	L	T	Buy	11/18/21	L		
129. 26 Week Treasury Bill	A	Interest	L	T	Buy	12/09/21	L		
130. US Series I Bonds		None	L	T	Buy (add'l)	05/01/21	J		
131.					Buy (add'l)	11/01/21	J		
132. BNY Mellon CRA (cash)	D	Distribution	J	T					
133. BNY Mellon Intermediate Bond Fund	A	Distribution	J	T					
134. BNY Mellon Bond Fund	A	Distribution	K	T	Buy (add'l)	06/17/21	K		
135.					Buy (add'l)	12/22/21	J		
136. BNY Mellon Yield Enhncement Strategy Fund	A	Distribution	J	T	Buy (add'l)	06/17/21	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
Dooley, Kari A.	04/25/2022

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	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)	(5) Identity of buyer/seller (if private transaction)
137. BNY Mellon Income Stock Fund	B	Distribution	J	T	Buy (add'l)	12/22/21	J		
138. BNY Mellon Tax Sensitive Large Cap Multi-Strategy	D	Distribution	K	T	Sold (part)	06/17/21	J	B	
139. BNY Mellon Mid Cap Multi-strategy Fund	B	Distribution	K	T					
140. BNY Mellon Smll/Mid Cap Fund	C	Distribution			Sold (part)	06/17/21	J	B	
141.					Sold	12/17/21	K	B	
142. BNY Mellon Diversified International Fund	C	Distribution	K	T	Sold (part)	06/17/21	J	B	
143. BNY Mellon Alternative Diversifier Strategies Fund	B	Distribution	J	T	Sold (part)	06/17/21	J	B	
144.					Sold (part)	11/10/21	J	A	
145. Dfa Emerging Mrkts Core Equity	A	Distribution	J	T	Buy	06/17/21	J		
146. BNY Small Cap multi-strategy	A	Distribution	J	T	Buy	12/22/21	J		
147. Northwestrn Mutual Whole Life Ins. Policy	B	Dividend	L	T					
148. Morgan Stanley CD	B	Interest			Matured	01/22/21	L		

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
Dooley, Kari A.	04/25/2022

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

Asset entry 16 - Chemours was previously held but only in 2021 reached the threshold value of $1,000.00.
Asset entry 102 - This bond matured in 2020 and was an oversight in last year's report.
Asset entry 106 - The Bond was called in 2020, which I did not realize and again, an oversight.

Name of Person Reporting	Date of Report
Dooley, Kari A.	04/25/2022

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/ 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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