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
Dooley, Kari A.	District of Connecticut	04/13/2024
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 - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	1/1/2023 **to** 12/31/2023
	5b. ☐ Amended Report	
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 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.	11/09/04	State of Connecticut Pension Plan- payable 5/7/2028
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.	Conference of Chief Justices and Chief Court Administrators	July 29 - 30, 2023	New York City	Annual Conference	CCJ waived my attendance fee as I attended as a representative of the Judicial Conference on State and Federal Jurisdiction
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
Dooley, Kari A.	04/13/2024

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. 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	L	T					
7. Americn Electrical Power Stock	A	Dividend	K	T					
8. Apple Stock	A	Dividend	M	T					
9. AT&T stock	B	Dividend	K	T					
10. Baxter International Stock	A	Dividend	J	T					
11. Boeing Stock		None	L	T					
12. Carrier stock	A	Dividend	J	T					
13. Caterpillar Stock	A	Dividend	K	T					
14. Centerpoint Energy Stock	A	Dividend	J	T					
15. Chemours	A	Dividend	J	T					
16. Cisco Systems Stock	B	Dividend	K	T					
17. Coca Cola Stock	A	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; 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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Dooley, Kari A.	04/13/2024

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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)	
18. Comcast Stock	A	Dividend	K	T					
19. Conagra Stock	A	Dividend	J	T					
20. ConocoPhillips Stock	B	Dividend	K	T					
21. Constellation Energy	A	Dividend	J	T					
22. Corteva	A	Dividend	J	T					
23. Cummins, Inc. Stock	B	Dividend	K	T					
24. Diageo Stock	A	Dividend	J	T					
25. Dow	B	Dividend	K	T					
26. Dupont	A	Dividend	K	T					
27. Eli Lilly Stock	A	Dividend	M	T					
28. Exelon Stock	A	Dividend	J	T					
29. Exxon Mobil Stock	C	Dividend	L	T					
30. META Stock		None	M	T					
31. G. Willi Food Stock	B	Dividend	K	T					
32. General Dynamics Stock	A	Dividend	K	T					
33. Gilead Stock	A	Dividend	K	T					
34. Hewlett Pckard Stock	A	Dividend	J	T					

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35. Home Depot	C	Dividend	M	T					
36. HP Inc. Stock	A	Dividend	J	T					
37. Intel Stock	A	Dividend	K	T					
38. IBM Stock	C	Dividend	L	T					
39. Russell 2000 I shares	B	Dividend	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					
43. Kyndryl Holdings		None			Sold	12/13/23	J		
44. Lamb Weston Stock	A	Dividend	J	T					
45. Lockheed Martin Stock	B	Dividend	K	T					
46. Lowes Stock	B	Dividend	L	T					
47. LyondellBassell	B	Dividend	K	T					
48. Manulife Financial Stock	B	Dividend	K	T					
49. McDonalds Stock	B	Dividend	M	T					
50. Merck	B	Dividend	K	T					
51. Microsoft Stock	B	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	B	Dividend	K	T					
56. Organon	A	Dividend			Sold	12/13/23	J		
57. Otis Elevator	A	Dividend	J	T					
58. M&T Bank (formerly Peoples United) Stock	B	Dividend	K	T					
59. Pfizer Stock	B	Dividend	K	T					
60. Philip Morris International Stock	B	Dividend	K	T					
61. Phillips 66 Stock	A	Dividend	K	T					
62. PPL Corp Stock	B	Dividend	K	T					
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 (Now RTX)	B	Dividend	K	T					
67. Rockwell Automation Stock	A	Dividend	L	T					
68. Royal Dutch Shell ADRs	A	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					
72.	Travelers Stock	B	Dividend	L	T					
73.	US Bancorp Stock	B	Dividend	K	T					
74.	Valero Energy Stock	B	Dividend	K	T					
75.	Verizon Stock	C	Dividend	K	T					
76.	Viatris	A	Dividend	J	T					
77.	Walmart Stock	B	Dividend	L	T					
78.	Warner Brothers Discovery		None			Sold	12/07/23	J		
79.	American Century Growth Fund	D	Distribution	N	T					
80.	American Century Select Fund	D	Distribution	N	T					
81.	American Century Heritage Fund	C	Distribution	N	T					
82.	American Century Intermediate-Term Tax Free Bond Fund	D	Dividend	M	T					
83.	Janus Henderson Forty Fund	E	Distribution	N	T					
84.	Janus Henderson Research Fund	D	Distribution	N	T					
85.	Jnus Henderson Overseas Fund	B	Distribution	L	T					

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86. MFS Value R4 Fund	D	Distribution	M	T					
87. Northern Mid Cap Index Fund	E	Distribution	N	T					
88. Northern Small Cap Index Fund	C	Distribution	M	T					
89. Allspring (formerly Wells Fargo) Target 2025 Fund	B	Distribution	L	T					
90. William Blair International Growth Fund	C	Distribution	L	T					
91. Virtus Kar Global (formerly Allianz Global Small Cap) Fund	A	Distribution	K	T					
92. MFS Global Fund	A	Distribution	K	T					
93. JP Morgan Income Fund	A	Dividend	L	T					
94. ConocoPhillips (11/15/24) Bond	A	Interest	K	T					
95. Energy Transfer Partners (1/15/26) Bond	A	Interest	K	T					
96. Ingersoll Rnd (2/15/30) Bond	B	Interest	K	T					
97. Tosco Corp (2/15/30) Bond	A	Interest	K	T					
98. Equifax Corporate Bond	A	Interest	L	T	Buy	06/07/23	L		
99. B of A Corp. Bond	B	Interest	L	T	Buy	03/02/23	L		
100. Ares Capital Bond	A	Interest	K	T	Buy	07/05/23	K		
101. Stamford Municipal Bond		None	K	T	Buy	11/03/23	K		
102. Puerto Rico Elec. Pwr Auth (7/1/20) Bond		None			Redeemed	12/23/23	J		

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103. PA ST Sch Bldg Auth (6/1/23) Bond	A	Interest			Redeemed	06/01/23	K		
104. CT ST Series E (8/15/23) Bond	A	Interest			Redeemed	08/15/23	K		
105. Miami Dade Spl Oblig (10/1/28) Bond	A	Interest	J	T					
106. MD ST Series A ST & Loc (8/1/28) Bond	A	Interest	K	T					
107. CT ST Spl Tax Oblig (10/1/28) Bond	A	Interest	L	T					
108. CT ST Spl Tax Oblig (10/1/30) Bond	A	Interest	J	T					
109. UConn GO Bond	A	Interest			Redeemed	11/10/23	J		
110. Loomis Sayles Bond Fund	A	Dividend	K	T					
111. Eaton Vance Floating Rate Fund	B	Dividend	K	T					
112. Bank of Montreal Bond	B	Interest	K	T					
113. State Bank of India CD		None	K	T	Buy	12/13/23	K		
114. Wells Fargo CD	A	Interest	K	T	Buy	12/19/23	K		
115. UBS Certificate of Deposit	A	Interest	K	T	Buy	11/03/23	K		
116. Wells Fargo Certificate of Deposit	C	Interest			Matured	12/23/23	L		
117. Puerto Rico Commonwealth GO Bond (X)		None	J	T					
118. CT Higher Educ. Trust (529 Plans) - age based option		None	M	T					
119. Merrill Lynch CMA - cash accounts	E	Interest	O	T					

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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)	
120. CT 457 Deferred Compensation Plan "BOLD" Option		None	O	T					
121. U.S. Treasuries and Bonds	E	Interest	N	T					
122. BNY Mellon IRA (cash)	A	Interest	J	T					
123. BNY Mellon Asset Allocation Fund	A	Int./Div.	M	T	Buy	04/14/23	M		
124. BNY Mellon Bond Fund	A	Int./Div.			Sold	04/12/23	K		
125. BNY Mellon Yield Enhncement Strategy Fund	A	Int./Div.			Sold	04/12/23	J		
126. BNY Mellon Mid Cap Multi-strategy Fund	A	Int./Div.			Sold	04/12/23	J	B	
127. Dfa Emerging Mrkts Core Equity	A	Int./Div.			Sold	04/12/23	J		
128. BNY Small Cap multi-strategy	A	Int./Div.			Sold	04/12/23	J		
129. ISHARES S&P 500 ETF	A	Int./Div.			Buy	03/08/23	K		
130.					Sold	04/12/23	K		
131. ISHARES Lehman 1-3year treasury	A	Int./Div.			Sold	03/08/23	J		
132. Vanguard Russell 1000	A	Int./Div.			Sold	03/08/23	K	C	
133. ISHARES S&P MC 400 Index	A	Int./Div.			Sold	04/12/23	J		
134. ISHARES S&P SC 600	A	Int./Div.			Sold	04/12/23	J		
135. Fidelity International SC	A	Int./Div.			Sold	04/12/23	J	A	
136. ISHARES MSCI Eafe Index	A	Int./Div.			Sold	04/12/23	J	A	

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.	04/13/2024

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)	
137. Allspring Gro Eq-Y		None			Buy	03/08/23	J		
138.					Sold	04/12/23	J	A	
139. BNY Mellon Global Real Return	A	Int./Div.			Sold	04/12/23	J		
140. BNY Mellon Global Real Estate	A	Int./Div.			Sold	03/08/23	J		
141. DFA Commodity Strategy	A	Int./Div.			Sold	04/12/23	J		
142. Gateway Fund	A	Int./Div.			Sold	04/12/23	J	A	
143. Goldman Sachs Absolute Return Tracker	A	Int./Div.			Sold	04/12/23	J		
144. Neuberger Berman Long Short Fund	A	Int./Div.			Sold	04/12/23	J		
145. Northwestrn Mutual Whole Life Ins. Policy	B	Int./Div.	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
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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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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Name of Person Reporting	Date of Report
Dooley, Kari A.	04/13/2024

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

Name of Person Reporting	Date of Report
Dooley, Kari A.	04/13/2024

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/ 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. § 13106)

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