AO 10
Rev. 1/2022

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
Geraci, Jr., Frank P.	United States District Court of Western District of New York	04/07/2022
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**
District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
U.S. Courthouse 100 State Street Rochester, NY 14614		

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.		

Name of Person Reporting	Date of Report
Geraci, Jr., Frank P.	04/07/2022

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.	2021	New York State Retirement	$77,319.12
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.	2021	New York State Retirement System Pension
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
Geraci, Jr., Frank P.	04/07/2022

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.	NYS 529 Coll Sav Pl - Mod Age Based Option: Disciplined Growth Port	A	Int./Div.	K	T	Buy (add'l)	12/21/21	J		
2.	NYS 529 Coll Sav Pl - Aggr Age Based Option: Aggressive Growth Port	A	Int./Div.	K	T	Buy (add'l)	12/21/21	J		
3.						Sold (part)	01/06/21	J		
4.	NYS 529 Coll Sav Pl - Aggr Age Based Option: Growth Port	A	Int./Div.	J	T	Buy (add'l)	12/21/21	J		
5.	NYS 529 Coll Sav Pl - Mod Age Based Option: Moderate Growth Portfolio	A	Int./Div.			Sold	05/06/21	J		
6.	M&T Bank Accounts	A	Interest	K	T	Redeemed (part)	11/29/21	J		
7.	E-Trade Financial - Paychex	A	Dividend	J	T					
8.	IRA #1 (H)									
9.	- Artisan International Value Adv	A	Int./Div.	J	T	Buy	08/25/21	J		
10.	- AQR Large Cap Defensive Style I	A	Int./Div.			Sold (part)	05/12/21	J		
11.						Sold	10/14/21	J		
12.						Sold	11/12/21	J		
13.	- Baird Aggregate Bond Instl	A	Int./Div.	J	T					
14.	- BlackRock Systematic Multi Strategy Instl Cl	A	Int./Div.	J	T	Buy	08/25/21	J		
15.	- Vanguard Total Bond Market ETF	A	Int./Div.	J	T	Sold (part)	05/17/21	J		
16.	- Doubleline Total Return Bond I	A	Int./Div.	J	T					
17.	- iShares JPMorgan USD Emerging Markets Bond ETF	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		
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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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.)*

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18.	- Goldman Sachs Absolute Return Tracker Cl		None			Buy	10/14/21	J		
19.						Sold	11/12/21	J		
20.	- Hartford Equity Income I	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
21.	- iShares Core MSCI EAFE ETF	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
22.	- iShares Core MSCI Emerging Markets ETF	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
23.	- iShares Core S&P Mid Cap ETF	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
24.	- iShares Core S&P US Growth ETF	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
25.	- iShares Core S&P US Value ETF	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
26.	- iShares Russell 2000 ETF	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
27.	- MFS Research I	A	Int./Div.	J	T	Sold (part)	04/13/21	J		
28.						Sold (part)	05/12/21	J		
29.						Sold (part)	10/12/21	J		
30.	- Invesco Developing Markets Y		None			Sold	08/25/21	J		
31.	- Invesco Main Street Small Cap Y	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
32.						Buy (add'l)	10/14/21	J		
33.	- T. Rowe Price Dividend Growth Inv	A	Int./Div.	J	T	Buy	11/12/21	J		
34.	- T. Rowe Price US Treasury Intermediate Index	A	Int./Div.	J	T	Sold (part)	08/25/21	J		

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35.					Sold (part)	10/14/21	J		
36. - Payden Low Duration Investor Cl	A	Int./Div.	J	T	Sold (part)	08/25/21	J		
37.					Sold (part)	11/12/21	J		
38. - iShares Edge MSCI USA Quality Factor ETF	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
39. - Clearbridge Large Cap Growth I	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
40.					Sold (part)	08/25/21	J		
41. - Columbia Contrarian Core Instl Cl	B	Int./Div.	J	T	Sold (part)	05/12/21	J		
42. - iShares Broad USD High Yield Corporate Bond ETF	A	Int./Div.	J	T					
43. - Vanguard Intermediate Term Corp Bond ETF	A	Int./Div.	J	T					
44. - Vanguard Total Bond Market ETF	A	Int./Div.	J	T					
45. - Vanguard Total Stock Market ETF	A	Int./Div.	J	T	Sold (part)	05/12/21	J		
46. - JPMorgan Core Bond I	A	Int./Div.	J	T					
47. IRA #2 (H)									
48. - Barclays Bank Buf Supertrack Note Linked SX5E		None	K	T					
49. - JPMorgan Chase S&P Economic Cycle Factor Rotator CD		None	K	T					
50. - JPMorgan Chase Uncapped Dual Directional Lkd EFA SX5E Note		None	J	T	Buy	07/06/21	J		
51. -JPMorgan Chase Capped Buffered Returned Enhanced Notes Linked Russell		None			Redeemed	06/30/21	J		

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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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2 Value Codes (See Columns C1 and D3)
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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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52. - JPMorgan Chase Capped Buffered Returned Enhanced Notes Linked Nasdaq		None			Redeemed	06/30/21	J	
53. - JPMorgan Chase Capped Buffered Returned Enhanced Notes Linked EEM		None			Redeemed	06/30/21	J	
54. - AB High Income Advisor CL	A	Int./Div.			Sold	04/01/21	J	
55. - ARK Innovation ETF	A	Int./Div.	J	T	Buy	04/01/21	J	
56. - BlackRock High Yield Bond Instl	A	Int./Div.	K	T	Buy	04/01/21	K	
57.					Sold (part)	05/12/21	J	
58. - Doubleline Core Fixed Income I	B	Int./Div.	K	T	Buy (add'l)	04/01/21	K	
59.					Sold (part)	05/12/21	J	
60. - iShares Edge MSCI Min Volatility Emerging Markets ETF					Sold	04/01/21	J	
61. - iShares Edge MSCI Minimum Volatility EAFE ETF	A	Int./Div.	J	T	Sold (part)	05/12/21	J	
62. - First Trust Capital Strength ETF	A	Int./Div.	K	T	Sold (part)	05/12/21	J	
63. - First Trust Value Line Dividend ETF	A	Int./Div.	K	T	Sold (part)	05/12/21	J	
64. - PGIM Short Duration High Yield Income Z	A	Int./Div.	J	T	Sold (part)	05/12/21	J	
65. - iShares S&P Mid Cap 400 Value ETF	A	Int./Div.	J	T	Buy	04/01/21	J	
66.					Sold (part)	05/12/21	J	
67. - iShares MSCI Intl Quality Factor ETF	A	Int./Div.	J	T	Buy	04/01/21	J	
68. - BlackRock Emerging Markets Instl Cl	A	Int./Div.	K	T	Buy	04/01/21	J	

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69.					Sold (part)	05/12/21	J	
70.					Buy (add'l)	07/08/21	J	
71. - MFS Emerging Markets Debt I	A	Int./Div.	J	T	Buy (add'l)	04/01/21	J	
72.					Sold (part)	05/12/21	J	
73. - Morgan Stanley Intl Discovery Cl I	C	Distribution	J	T	Buy	04/01/21	J	
74. - Nuveen Preferred Securities and Income I	A	Int./Div.	J	T	Buy (add'l)	04/01/21	J	
75.					Sold (part)	05/12/21	J	
76. - PGIM Absolute Return Bond Z	A	Int./Div.			Sold	04/01/21	K	
77. - PGIM Short Term Corporate Bond Z	A	Int./Div.	K	T	Buy (add'l)	04/01/21	J	
78. - PIMCO Income Cl I2	A	Int./Div.	K	T	Buy (add'l)	04/01/21	J	
79.					Sold (part)	05/12/21	J	
80. - Invesco QQQ ETF	A	Int./Div.	K	T	Buy (add'l)	04/01/21	J	
81.					Sold (part)	05/12/21	J	
82.					Buy (add'l)	07/08/21	J	
83. - SPDR SSGA Multi Asset Real Return ETF	A	Int./Div.			Sold	04/01/21	J	
84. - SPDR S&P 600 Small Cap Value ETF	A	Int./Div.	J	T	Buy	04/01/21	J	
85.					Sold (part)	05/12/21	J	

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86.						Buy (add'l)	07/08/21	J		
87.	- Invesco S&P 500 Low Volatility ETF	A	Int./Div.			Sold	04/01/21	K		
88.	- iShares MSCI USA Min Volatility Factor ETF	A	Int./Div.	J	T	Buy	04/01/21	J		
89.	- Vanguard Small Cap Value ETF	A	Int./Div.			Sold	04/01/21	J		
90.	- Wasatch Ultra Growth Investor Cl	B	Distribution	J	T	Buy	04/01/21	J		
91.						Buy (add'l)	07/08/21	J		
92.	- Invesco S&P Mid Cap Low Volatility ETF	A	Int./Div.			Sold	04/01/21	K		
93.	- Invesco S&P Small Cap Low Volatility ETF	A	Int./Div.			Sold	04/01/21	J		
94.	- First Trust NYSE Arca Biotechnology Index ETF		None			Sold	04/01/21	J		
95.	- First Trust Dow Jones Internet Index ETF		None			Sold	04/01/21	J		
96.										
97.										

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

- Part VI. The Navient (Sallie Mae) liability fell below the reporting threshhold and was removed from the 2021 filing.
- Part VII. Two NYS 529 beneficiaries changed age, prompting an automatic risk downshift in the age based allocation.

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Geraci, Jr., Frank P.	04/07/2022

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/ Frank P. Geraci, Jr.**

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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