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
Geraci, Jr., Frank P.	United States District Court of Western District of New York	04/26/2023
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**
District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	01/01/2022 **to** 12/31/2022
	5b. ☐ Amended Report	
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.		

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. 2022	New York State Retirement	$77,667.12
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. 2022	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.	04/26/2023

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.	NYS 529 Coll Sav Pl - Mod Age Based Option: Disciplined Growth Port	A	Int./Div.	J	T	Buy (add'l)	11/30/22	J		
2.						Sold (part)	02/07/22	J		
3.	NYS 529 Coll Sav Pl - Mod Age Based Option: Conservative Growth Port	A	Int./Div.	J	T	Buy	02/07/22	J		
4.	NYS 529 Coll Sav Pl - Agg Age Based Option: Aggressive Growth Port	A	Int./Div.	K	T	Buy (add'l)	11/30/22	J		
5.	NYS 529 Coll Sav Pl - Aggr Age Based Option: Growth Port	A	Int./Div.	J	T	Buy (add'l)	11/30/22	J		
6.	M&T Bank Accounts	A	Interest	K	T	Redeemed (part)	11/28/22	J		
7.	E-Trade Financial - Paychex	A	Dividend	J	T					
8.	IRA #1 (H)									
9.	- Artisan International Value Adv		None			Sold	03/23/22	J		
10.	- Baird Aggregate Bond Instl	A	Int./Div.	J	T	Buy	09/30/22	J		
11.						Sold (part)	11/03/22	J		
12.	- BlackRock Systematic Multi Strategy Instl Cl	A	Int./Div.	J	T	Sold (part)	07/12/22	J		
13.						Sold (part)	11/03/22	J		
14.	- Vanguard Total Bond Market ETF	A	Int./Div.	J	T					
15.	- Doubleline Total Return Bond I	A	Int./Div.	J	T	Sold (part)	11/03/22	J		
16.	- iShares JPMorgan USD Emerging Markets Bond ETF		None			Sold	01/24/22	J		
17.	- Hartford Equity Income I	A	Int./Div.	J	T	Sold (part)	04/12/22	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			

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☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
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18.					Sold (part)	11/03/22	J		
19. - iShares Core MSCI EAFE ETF	A	Int./Div.	J	T	Buy (add'l)	01/24/22	J		
20.					Buy (add'l)	10/03/22	J		
21. - iShares Core MSCI Emerging Markets ETF	A	Int./Div.	J	T	Sold (part)	01/24/22	J		
22. - iShares Core S&P Mid Cap ETF	A	Int./Div.	J	T	Buy (add'l)	07/25/22	J		
23.					Sold (part)	11/03/22	J		
24. - iShares Core S&P Small Cap ETF	A	Int./Div.	J	T	Buy	07/25/22	J		
25. - iShares Core S&P US Growth ETF	A	Int./Div.	J	T	Sold (part)	07/25/22	J	A	
26. - iShares Core S&P US Value ETF	A	Int./Div.	J	T	Sold (part)	07/25/22	J	A	
27. - iShares Russell 2000 ETF	A	Int./Div.	J	T	Sold (part)	07/25/22	J		
28. - Delaware Ivy Large Cap Growth I		None	J	T	Buy	12/05/22	J		
29. - MFS Research I	A	Int./Div.	J	T	Sold (part)	11/03/22	J		
30. - Invesco Main Street Small Cap Y	A	Int./Div.	J	T	Buy (add'l)	07/12/22	J		
31.					Sold (part)	11/03/22	J		
32. - T. Rowe Price Dividend Growth Inv	A	Int./Div.	J	T	Sold (part)	07/12/22	J		
33.					Sold (part)	11/03/22	J		
34. - T. Rowe Price US Treasury Intermediate	A	Int./Div.	J	T					

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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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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35. - Payden Low Duration Investor Cl	A	Int./Div.			Sold (part)	07/12/22	J		
36.					Sold	09/30/22	J		
37. - iShares Edge MSCI USA Quality Factor ETF	A	Int./Div.	J	T					
38. - Clearbridge Large Cap Growth I		None			Sold (part)	07/12/22	J		
39.					Sold	12/05/22	J		
40. - Schwab Intermediate US Treasury ETF	A	Int./Div.	J	T	Buy	07/25/22	J		
41. - Columbia Contrarian Core Instl Cl	A	Int./Div.	J	T	Sold (part)	07/12/22	J		
42.					Sold (part)	11/03/22	J		
43. - SPDR Blackstone Senior Ln ETF	A	Int./Div.	J	T	Buy	01/24/22	J		
44.					Sold (part)	07/25/22	J		
45. - Federated Hermes Strategic Value Dividend Inst Cl	A	Int./Div.	J	T	Buy	03/23/22	J		
46.					Sold (part)	11/03/22	J		
47. - Touchstone Mid Cap Cl Y	A	Int./Div.	J	T	Buy	07/12/22	J		
48. - iShares Broad USD High Yield Corporate Bond ETF		None			Sold	01/24/22	J		
49. - Vanguard Intermediate Term Corp Bond ETF	A	Int./Div.	J	T	Sold (part)	07/25/22	J		
50. - Vanguard Total Stock Market ETF	A	Int./Div.	J	T	Buy (add'l)	01/24/22	J		
51. - JPMorgan Core Bond I	A	Int./Div.	J	T	Buy (add'l)	07/12/22	J		

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52.					Sold (part)	11/03/22	J		
53. IRA # 2 (H)									
54. - Barclays Bank Buf Supertrack Note Linked SX5E		None			Redeemed	06/30/22	K	A	
55. - JPMorgan Chase S&P Economic Cycle Factor Rotator CD		None			Redeemed	03/31/22	K		
56. - JPMorgan Chase Uncapped Dual Directional Lkd EFA SX5E Note		None	J	T					
57. - Citigroup Glbl Mkts Hldg Barrier Sec Lkd INDU NDX Note		None	J	T	Buy	02/03/22	K		
58. - Citigroup Glbl Mkts Hldg Dual Directional Buf Sec SX5E EFA Note		None	K	T	Buy	02/03/22	K		
59. - JPMorgan Chase Finl Cap Accel Barrier Note Lkd RTY SPX		None	J	T	Buy	03/31/22	J		
60. - JPMorgan Chase Finl Uncap Dual Directional Buf Lkd EFA SX5E		None	K	T	Buy	06/30/22	K		
61. - ARK Innovation ETF		None	J	T					
62. - BlackRock High Yield Bond Instl	A	Int./Div.	J	T					
63. - Doubleline Core Fixed Income I	B	Int./Div.	K	T	Redeemed (part)	02/03/22	J		
64. - iShares Edge MSCI Min Volatility EAFE ETF		None			Sold (part)	02/03/22	J	A	
65.					Sold	03/29/22	J		
66. - First Trust Capital Strength ETF	A	Int./Div.	K	T					
67. - First Trust Value Line Dividend ETF	A	Int./Div.	K	T	Sold (part)	02/03/22	J	A	
68. - PGIM Short Duration High Yield Income Z	A	Int./Div.	J	T	Sold (part)	02/03/22	J		

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69. - iShares S&P Mid Cap 400 Value ETF	A	Int./Div.	J	T					
70. - iShares MSCI Intl Quality Factor ETF	A	Int./Div.	J	T					
71. - BlackRock Emerging Markets Instl Cl	A	Int./Div.	K	T	Buy (add'l)	02/03/22	J		
72.					Buy (add'l)	03/31/22	J		
73. - MFS Emerging Markets Debt I	A	Int./Div.	J	T					
74. - Morgan Stanley Intl Discovery I		None	J	T	Buy (add'l)	02/03/22	J		
75. - Nuveen Preferred Securities and Income I	A	Int./Div.	J	T	Sold (part)	02/03/22	J		
76.					Buy (add'l)	03/31/22	J		
77. - PGIM Short Term Corporate Bond Z	A	Int./Div.	J	T	Sold (part)	02/03/22	J		
78. - PIMCO Income Cl I2	A	Int./Div.	J	T	Sold (part)	02/03/22	J		
79. - Invesco QQQ ETF	A	Int./Div.	K	T	Sold (part)	02/03/22	J	A	
80. - SPDR S&P 600 Small Cap Value ETF	A	Int./Div.	J	T					
81. - iShares MSCI USA Min Volatility Factor ETF	A	Int./Div.	J	T					
82. - Watsatch Ultra Growth Investor Cl		None	J	T					
83.									

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

- Part VII. One NYS 529 beneficiary changed age, prompting an automatic risk downshift in the age based allocation.

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/ 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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One Columbus Circle, N.E.
Washington, D.C. 20544