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
Geraci, Jr., Frank P.	United States District Court of Western District of New York	04/11/2024
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**
District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
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.	2023	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.	2023	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.	04/11/2024

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. NYS 529 Coll Sav Pl - Mod Age Based Option: Disciplined Growth Port	A	Int./Div.			Buy (add'l)	01/03/23	J		
2.					Sold	05/08/23	J	B	
3. NYS 529 Coll Sav Pl - Mod Age Based Option: Conservative Growth Port	A	Int./Div.			Buy (add'l)	01/03/23	J		
4.					Sold	07/28/23	J	B	
5. NYS 529 Coll Sav Pl - Agg Age Based Option: Aggressive Growth Port	A	Int./Div.			Buy (add'l)	01/03/23	J		
6.					Sold (part)	01/06/23	J	A	
7.					Sold (part)	05/08/23	J	A	
8.					Sold (part)	07/06/23	K	C	
9.					Sold	07/28/23	J	A	
10. NYS 529 Coll Sav Pl - Aggr Age Based Option: Growth Port	A	Int./Div.			Buy (add'l)	01/03/23	J		
11.					Sold	07/28/23	K	C	
12. NY 529 Coll Sav Pl - Target 2027	A	Int./Div.	J	T	Buy	07/28/23	J		
13.					Buy (add'l)	07/31/23	J		
14. NY 529 Coll Sav Pl - Target 2028	A	Int./Div.	J	T	Buy	07/28/23	J		
15.					Buy (add'l)	07/31/23	J		
16. NY 529 Coll Sav Pl - Target 2033	A	Int./Div.	J	T	Buy	07/28/23	J		
17.					Buy (add'l)	07/31/23	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		

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18. NY 529 Coll Sav Pl - Target 2035	A	Int./Div.	K	T	Buy	07/23/23	K		
19.					Buy (add'l)	07/31/23	J		
20. NY 529 Coll Sav Pl - Target 2041	A	Int./Div.	J	T	Buy	07/28/23	J		
21.					Buy (add'l)	08/01/23	J		
22. M&T Bank Accounts	A	Interest	K	T					
23. E-Trade Financial - Paychex	A	Dividend	J	T					
24. IRA #1 (H)									
25. - Baird Aggregate Bond Instl	A	Int./Div.	J	T	Buy (add'l)	06/13/23	J		
26. - BlackRock Systematic Multi Strategy Instl Cl	A	Int./Div.	J	T					
27. - Vanguard Total Bond Market ETF	A	Int./Div.	J	T					
28. - Doubleline Total Return Bond I	A	Int./Div.			Sold	03/20/23	J		
29. - Hartford Equity Income I	A	Int./Div.	J	T					
30. - iShares Core MSCI EAFE ETF	A	Int./Div.	J	T	Sold (part)	02/03/23	J	A	
31.					Buy (add'l)	03/06/23	J		
32.					Sold (part)	04/14/23	J	A	
33. - iShares Core MSCI Emerging Markets ETF	A	Int./Div.	J	T					
34. - iShares Core S&P Mid Cap ETF	A	Int./Div.	J	T					

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35. - iShares Core S&P Small Cap ETF	A	Int./Div.	J	T					
36. - iShares Core S&P US Growth ETF	A	Int./Div.	J	T					
37. - iShares Core S&P US Value ETF	A	Int./Div.	J	T					
38. - iShares Russell 2000 ETF	A	Int./Div.	J	T					
39. - Delaware Ivy Large Cap Growth I	A	Dividend	J	T	Sold (part)	01/31/23	J	A	
40.					Buy (add'l)	05/18/23	J		
41. - iShares MBS ETF	A	Int./Div.	J	T	Buy	03/06/23	J		
42.					Sold (part)	04/14/23	J	A	
43. - MFS Research I	A	Int./Div.			Sold (part)	01/31/23	J	A	
44.					Sold (part)	03/20/23	J	A	
45.					Sold	05/18/23	J	A	
46. - Invesco Main Street Small Cap Y	A	Int./Div.	J	T	Sold (part)	04/19/23	J	A	
47.					Sold (part)	05/18/23	J	A	
48. - T. Rowe Price Dividend Growth Inv	A	Int./Div.	J	T	Buy (add'l)	04/19/23	J		
49. - T. Rowe Price US Treasury Intermediate	A	Int./Div.	J	T					
50. - iShares Edge MSCI USA Quality Factor ETF	A	Int./Div.	J	T	Sold (part)	03/06/23	J	A	
51. - Schwab Intermediate US Treasury ETF	A	Int./Div.			Sold	03/06/23	J	A	

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52. - First Eagle Overseas I	A	Int./Div.	J	T	Buy	01/31/23	J		
53.					Buy (add'l)	05/18/23	J		
54.					Sold (part)	10/20/23	J		
55. - Columbia Contrarian Core Instl Cl	A	Int./Div.	J	T					
56. - SPDR Blackstone Senior Ln ETF	A	Int./Div.			Sold	03/06/23	J	A	
57. - Federated Hermes Strategic Value Dividend Inst Cl	A	Int./Div.			Sold	06/13/23	J	A	
58. - Touchstone Mid Cap Cl Y		None			Sold	04/19/23	J	A	
59. - Vanguard Intermediate Term Corp Bond ETF	A	Int./Div.	J	T					
60. - Vanguard Total Stock Market ETF	A	Int./Div.	J	T					
61. - JPMorgan Core Bond I	A	Int./Div.	J	T	Buy (add'l)	03/20/23	J		
62. IRA # 2 (H)									
63. - JPMorgan Chase Uncapped Dual Directional Lkd EFA SX5E Note		None	J	T					
64. - Citigroup Glbl Mkts Hldg Barrier Sec Lkd INDU NDX Note		None	K	T					
65. - Citigroup Glbl Mkts Hldg Dual Directional Buf Sec SX5E EFA Note		None	K	T					
66. - JPMorgan Chase Finl Cap Accel Barrier Note Lkd RTY SPX		None	K	T					
67. - JPMorgan Chase Finl Uncap Dual Directional Buf Lkd EFA SX5E		None	K	T					
68. - Bank of America Dow Jones S&P 500 Enh Ret Note Lkd		None	J	T	Buy	07/31/23	J		

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69. - Citigroup Dual Directional Lkd SX5E EFA		None	J	T	Buy	07/31/23	J		
70. - JPMorgan Chase Enh Note Lkd RTY		None	J	T	Buy	07/31/23	J		
71. - JPMorgan Chase Enh Note Lkd EEM		None	J	T	Buy	07/31/23	J		
72. - ARK Innovation ETF		None	J	T					
73. - BlackRock High Yield Bond Instl	B	Int./Div.	J	T					
74. - Doubleline Core Fixed Income I	C	Int./Div.	L	T	Buy (add'l)	04/14/23	J		
75.					Buy (add'l)	07/06/23	K		
76. - First Trust Capital Strength ETF	A	Int./Div.	K	T					
77. - First Trust Value Line Dividend ETF	A	Int./Div.	K	T	Sold (part)	04/14/23	J	A	
78.					Buy (add'l)	07/06/23	J		
79. - PGIM Short Duration High Yield Income Z	B	Int./Div.	K	T	Buy (add'l)	07/06/23	J		
80. - iShares S&P Mid Cap 400 Value ETF	A	Int./Div.	K	T	Buy (add'l)	07/06/23	J		
81. - iShares MSCI Intl Quality Factor ETF	A	Int./Div.	J	T					
82. - BlackRock Emerging Markets Instl Cl	A	Int./Div.	K	T					
83. - MFS Emerging Markets Debt I	B	Int./Div.	J	T	Buy (add'l)	07/06/23	J		
84. - Morgan Stanley Instl Discovery I		None	K	T	Buy (add'l)	07/06/23	J		
85. - Nuveen Preferred Securities and Income I	B	Int./Div.	K	T	Buy (add'l)	07/06/23	J		

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86. - PGIM Short Term Corporate Bond Z	A	Int./Div.	K	T	Buy (add'l)	07/06/23	J		
87. - PIMCO Income Cl I2	B	Int./Div.	J	T	Buy (add'l)	07/06/23	J		
88. - Invesco QQQ ETF	A	Int./Div.	K	T					
89. - SPDR S&P 600 Small Cap Value ETF	A	Int./Div.	J	T					
90. - iShares MSCI USA Min Volatility Factor ETF	A	Int./Div.	J	T					
91. - Watsatch Ultra Growth Investor Cl		None	J	T					
92. Roth IRA #1 (H)									
93. - American Funds Bond Fund of America F2	A	Int./Div.	J	T	Buy	07/06/23	J		
94. - American Funds Europacific Growth F2	A	Int./Div.	J	T	Buy	07/06/23	J		
95. - American Funds Strategic Bond F2	A	Int./Div.	J	T	Buy	07/06/23	J		
96. - American Funds Core Bond F2	A	Int./Div.	J	T	Buy	07/06/23	J		
97. - American Funds Capital Income Builder F2	A	Int./Div.	J	T	Buy	07/06/23	J		
98. - American Funds Growth Fund of America F2	A	Int./Div.	J	T	Buy	07/06/23	J		
99. - American Funds Intermediate Bond Fund of America F2	A	Int./Div.	J	T	Buy	07/06/23	J		
100. - American Funds Investment Company of America F2	A	Int./Div.	J	T	Buy	07/06/23	J		
101. - John Hancock Disciplined Value Mid Cap I	A	Int./Div.	J	T	Buy	07/06/23	J		
102. - American Funds Smallcap World F2	A	Int./Div.	J	T	Buy	07/06/23	J		

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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)	
103. - American Funds Washington Mutual Investors F2	A	Int./Div.	J	T	Buy	07/06/23	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
Geraci, Jr., Frank P.	04/11/2024

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

- Part VII. All 529 plans were automatically converted in July 2023 to the target date corresponding with the anticipated beneficiary's date of entry to college. Lines 1-13 list the assets exchanged for lines 14-21. All assets were sold out of their original funds and re-invested in the target date series portfolios.
- Part VII. Non-reportable Thrift Savings Plan assets were rolled into IRA #2 (lines 62-91) and Roth IRA #1 (lines 92-103) on 07/05/2023, and are now reported going forward.

Name of Person Reporting	Date of Report
Geraci, Jr., Frank P.	04/11/2024

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/ 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
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