Annual, 2025

Financial Disclosure Report (AO Form 10)

Filer's Information
Geraci, Frank Paul
U.S. District Court - New York Western
Senior District Judge

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. Â§ 13141 et. seq., 5 U.S.C. Â§ 7353, and Judicial Conference regulations.

/s/ Geraci, Frank Paul [electronically signed on Jun 9, 2026 3:33pm by Geraci, Frank Paul in JEFS]
/s/ Geraci, Frank Paul [electronically signed on May 13, 2026 6:01am by Geraci, Frank Paul in JEFS]

I. Positions

I do not have any Positions to report
No entries in this section

II. Agreements

I do not have any Agreements to report
No entries in this section

III A. Filer Non-Investment Income

	SOURCE	INCOME TYPE	INCOME AMOUNT	HONORARIUM DATE
1.	New York State Retirement	Fixed Retirement / Pension Benefits	$78,873.12	

III B. Spouse Non-Investment Income

	SOURCE	DESCRIPTION	HONORARIUM	HONORARIUM AMOUNT	HONORARIUM DATE
1.	New York State Retirement			$0.00	

IV. Reimbursements

I do not have any Reimbursements to report
No entries in this section

V. Gifts

I do not have any Gifts to report
No entries in this section

VI. Liabilities

I do not have any Liabilities to report
No entries in this section

VII. Investments and Trusts

	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE	VALUE METHOD
1.	**(H) Roth IRA #1**				

Additional Explanation: Roth IRA #1 was closed on 12/10/2025

1-A.	- American Funds Small Cap World F2		None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less

1-B.	- American Funds Bond Fund of America F2	$1,000 or less	Dividend

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less
(2).	Buy (add'l)	Jan 2, 2025	$15,000 or less

1-C.	- American Funds American Mutual F2	$1,000 or less	Dividend

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less
(2).	Buy (add'l)	Mar 13, 2025	$15,000 or less

1-D.	- John Hancock Disciplined Val Mid Cap Cl I		None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Mar 3, 2025	$15,000 or less
(2).	Sold	Apr 11, 2025	$15,000 or less

1-E.	- American Funds Intermediate Bond Fund of America F2		None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Jan 2, 2025	$15,000 or less
(2).	Sold	Apr 11, 2025	$15,000 or less

1-F.	- American Funds Europacific Growth F2		None

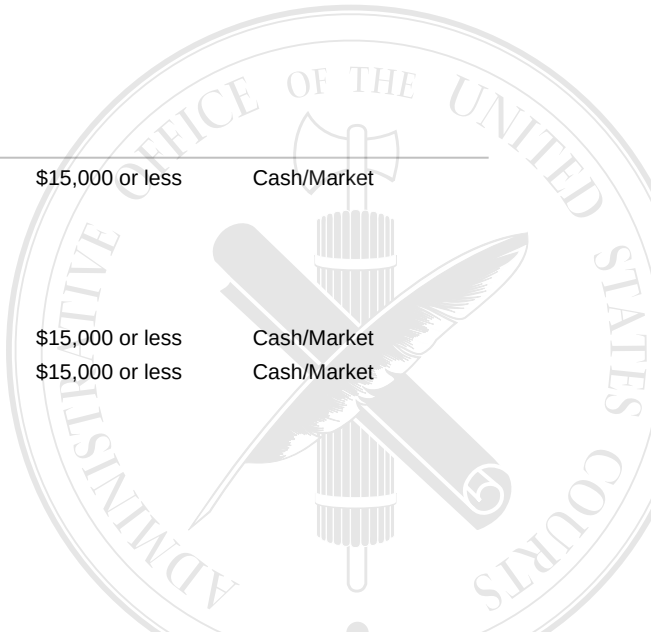
Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less
(2).	Buy (add'l)	Mar 3, 2025	$15,000 or less

1-G.	- American Funds Growth Fund of America F2		None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less
(2).	Buy (add'l)	Mar 3, 2025	$15,000 or less

1-H.	- American Funds Strategic Bond F2	$1,000 or less	Dividend

	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE	VALUE METHOD
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold	Apr 11, 2025	$15,000 or less	
	(2).	Buy (add'l)	Mar 17, 2025	$15,000 or less	
1-I.	- American Funds Corp Bond F2	$1,000 or less	Dividend		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold	Apr 11, 2025	$15,000 or less	
	(2).	Buy (add'l)	Mar 17, 2025	$15,000 or less	
1-J.	- American Funds Washington Mutual Investors F2		None		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Mar 13, 2025	$15,000 or less	
	(2).	Sold	Apr 11, 2025	$15,000 or less	
1-K.	- American Funds New World F2		None		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Mar 3, 2025	$15,000 or less	
	(2).	Sold	Apr 11, 2025	$15,000 or less	
1-L.	- American Funds Investment Company of America F2	$1,000 or less	Dividend		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Mar 13, 2025	$15,000 or less	
	(2).	Sold	Apr 11, 2025	$15,000 or less	
1-M.	- Harbor Small Cap Value Instl Cl		None		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold	Apr 11, 2025	$15,000 or less	
2.	**NYS Coll Sav Pl - Target 2023**	$1,000 or less	Dividend	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Jan 9, 2025	$15,000 or less	
3.	**(H) IRA #1 - continued**				
3-A.	- Vanguard Total Stock Market ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
3-B.	- Vanguard Short Term Inflation Protected Securities ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Feb 10, 2025	$15,000 or less	
3-C.	- JPMorgan Core Bond I	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold (part)	Apr 11, 2025	$15,000 or less	
	(2).	Buy (add'l)	Jan 30, 2025	$15,000 or less	
4.	**(H) IRA #1**				
4-A.	- Columbia Contrarian Core Instl Cl	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Dec 10, 2025	$15,000 or less	
	(2).	Buy (add'l)	Feb 18, 2025	$15,000 or less	
4-B.	- iShares S&P Small Cap ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
4-C.	Baird Aggregate Bond Instl	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Jan 29, 2025	$15,000 or less	



	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE	VALUE METHOD
4-D.	- Macquarie Large Cap Growth I	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Additional Explanation: Delaware Ivy Large Cap Growth Fund changed it's name to Macquarie Large Cap Growth I on 12/31/2024, and subsequently changed it's name to Nomura Large Cap Growth I fund on 12/01/2025.

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Dec 3, 2025	$15,000 or less
(2).	Buy	Feb 18, 2025	$15,000 or less

4-E.	- First Eagle Overseas I	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Apr 11, 2025	$15,000 or less
(2).	Buy (add'l)	Dec 5, 2025	$15,000 or less

4-F.	- iShares Core MSCI EAFE ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
4-G.	SPDR S&P 600 Small Cap Value ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Additional Explanation: SPDR S&P 600 Small Cap Value ETF re-branded State Street Global Advisors to State Street Investment Management, shortened State Street on June 30, 2025, and renamed their ETFs on October 31, 2025. The fund is now called State Street S&P 600 Small Cap Value ETF.

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy	Feb 10, 2025	$15,000 or less

4-H.	- Invesco Main Street Small Cap Y	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Dec 12, 2025	$15,000 or less
(2).	Sold (part)	Feb 18, 2025	$15,000 or less

4-I.	- Cullen Emerging Markets High Dividend Cl I	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Jun 30, 2025	$15,000 or less
(2).	Buy	May 12, 2025	$15,000 or less

4-J.	- iShares Core S&P US Value ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Feb 10, 2025	$15,000 or less

4-K.	- Vanguard Intermediate Term Corp Bond ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Feb 10, 2025	$15,000 or less

4-L.	- Vanguard Intermediate Term Treasury Admiral	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Jan 2, 2025	$15,000 or less

4-M.	- iShares S&P Mid Cap ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Feb 10, 2025	$15,000 or less

4-N.	- Hartford Equity Income I	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Dec 12, 2025	$15,000 or less
(2).	Sold (part)	Apr 11, 2025	$15,000 or less

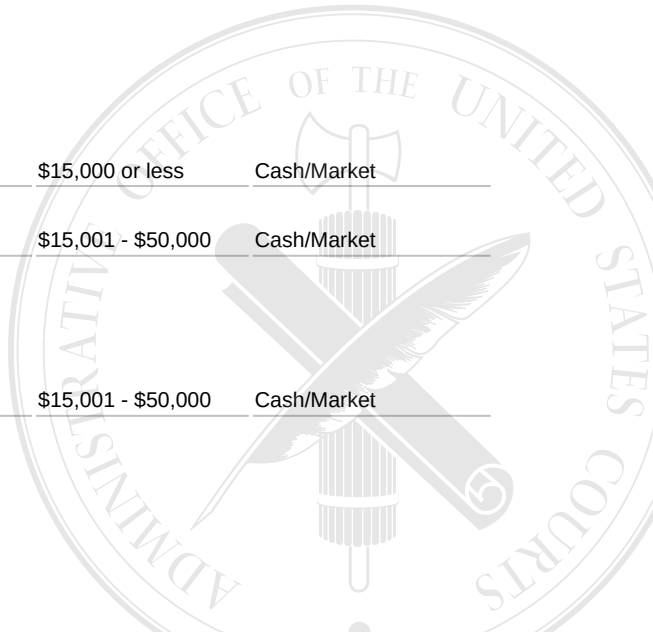
4-O.	- iShares MSCI USA Quality Factor ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Feb 10, 2025	$15,000 or less

4-P.	- iShares MSCI Emerging Markets ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
4-Q.	- Blackrock Systematic Multi Strategy Instl Cl	$1,000 or less	Dividend	$15,000 or less	Cash/Market



	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE	VALUE METHOD
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Buy (add'l) Dec 29, 2025 $15,000 or less				
4-R.	- iShares US Treasury Bond ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Sold (part) Apr 11, 2025 $15,000 or less				
	(2). Sold (part) Feb 10, 2025 $15,000 or less				
4-S.	- Invesco Optimum Yld Diversified Commodity Str No K-1 ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Buy Feb 10, 2025 $15,000 or less				
4-T.	T. Rowe Price Dividend Growth Inv	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Sold (part) May 12, 2025 $15,000 or less				
	(2). Buy (add'l) Mar 28, 2025 $15,000 or less				
4-U.	- iShares MBS ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Buy (add'l) Apr 11, 2025 $15,000 or less				
	(2). Buy (add'l) Feb 10, 2025 $15,000 or less				
4-V.	- Vanguard Russell 1000 Value Value Index Fund ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Buy Feb 10, 2025 $15,000 or less				
4-W.	- iShares Core S&P US Growth ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
4-X.	- iShares Global Infrastructure ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
4-Y.	- SPDR Portfolio Intermediate Term Corporate Bond ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Additional Explanation: SDPR Portfolio Intermediate Term Corp Bond ETF re-branded as State Street Global Advisors to State Street Investment Management, shortened State Street, on June 30, 2025, and renamed their ETFs on October 31, 2025. The fund is now called State Street Portfolio Intermediate Term Corp Bond ETF.				
4-Z.	- Blackrock Tactical Opprtys Inslt		None	$15,000 or less	Cash/Market
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Sold (part) Apr 15, 2025 $15,000 or less				
5.	**NYS 529 Coll Sav Pl - Target 2041**	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Buy (add'l) Jan 9, 2025 $15,000 or less				
6.	**NYS 529 Coll Sav Pl - Target 2043**	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Additional Explanation: Account opened 10/09/2025				
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Buy Oct 9, 2025 $15,000 or less				
7.	**E-Trade Financial - Paychex**	$1,000 or less	Dividend	$15,000 or less	Cash/Market
8.	**M&T Bank Accounts**	$1,000 or less	Interest	$15,001 - $50,000	Cash/Market
	Transactions **Transaction Type** **Transaction Date** **Transaction Value**				
	(1). Redeemed (part) Nov 28, 2025 $15,000 or less				
9.	**NYS Coll Sav Pl - Target 2035**	$1,001 - $2,500	Dividend	$15,001 - $50,000	Cash/Market



DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE	VALUE METHOD

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Jan 9, 2025	$15,000 or less

10. **(H) IRA #2 - Continued**

10-A.	- PGIM Ultra Short Bond ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Dec 19, 2025	$15,000 or less
(2).	Buy	Aug 6, 2025	$15,000 or less

10-B.	- AQR Diversifying Strategies I	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Dec 19, 2025	$15,000 or less
(2).	Buy	Aug 6, 2025	$15,000 or less

10-C.	- Invesco QQQ ETF	$1,000 or less	Dividend	$15,001 - $50,000	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Dec 12, 2025	$15,000 or less
(2).	Sold (part)	Aug 6, 2025	$15,001 - $50,000

10-D.	- Vanguard Mid Cap Growth ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy	Aug 6, 2025	$15,000 or less

10-E.	- iShares MSCI USA Min Volatility ETF	$1,000 or less	Dividend

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Aug 6, 2025	$15,000 or less

10-F.	- Vanguard Value ETF	$1,000 or less	Dividend	$50,001 - $100,000	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy	Aug 6, 2025	$50,001 - $100,000

10-G.	- JPMorgan Liquid Assets Money Market Premier Cl	$1,001 - $2,500	Dividend	$15,001 - $50,000	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Aug 28, 2025	$50,001 - $100,000
(2).	Buy (add'l)	Aug 6, 2025	$50,001 - $100,000
(3).	Sold (part)	Apr 11, 2025	$15,000 or less
(4).	Buy (add'l)	Jan 2, 2025	$15,000 or less

10-H.	PIMCO Income I2	$1,001 - $2,500	Dividend	$15,001 - $50,000	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy (add'l)	Dec 19, 2025	$15,000 or less

10-I.	- iShares MSCI USA Size Factor ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy	Aug 6, 2025	$15,000 or less

10-J.	- SPDR S&P 600 Small Cap Value ETF	$1,000 or less	Dividend

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Aug 6, 2025	$15,000 or less

10-K.	- Wasatch Ultra Growth Inv		None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Aug 6, 2025	$15,000 or less

11. **(H) Non-Qualified Account #1**

Additional Explanation: Non-Qualified Account #1 was closed on 04/16/2025

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	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE	VALUE METHOD
11-A.	- iShares Core MSCI EAFE ETF		None		

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less
(2).	Sold (part)	Feb 10, 2025	$15,000 or less

11-B. - iShares Russell 2000 ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less

11-C. - Vanguard Total Stock Market ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less

11-D. - Vanguard Short Term Inflation Protected Securities ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy	Feb 10, 2025	$15,000 or less
(2).	Sold	Apr 11, 2025	$15,000 or less

11-E. - iShares Global Infrastructure ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy	Feb 10, 2025	$15,000 or less
(2).	Sold	Apr 11, 2025	$15,000 or less

11-F. - Vanguard Municipal Tax Exempt Bond Index ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less

11-G. - iShares National Muni Bond ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Feb 10, 2025	$15,000 or less
(2).	Sold	Apr 11, 2025	$15,000 or less

11-H. - iShares Core S&P US Growth ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less

11-I. - iShares Core S&P US Value ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold	Apr 11, 2025	$15,000 or less

11-J. - iShares Core S&P Mid Cap ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Sold (part)	Feb 10, 2025	$15,000 or less
(2).	Sold	Apr 11, 2025	$15,000 or less

11-K. - Invesco Optimum Yld Diversified Commodity Str No K-1 ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy	Feb 10, 2025	$15,000 or less
(2).	Sold	Apr 11, 2025	$15,000 or less

11-L. - SPDR S&P Small Cap Value ETF — None

Transactions	Transaction Type	Transaction Date	Transaction Value
(1).	Buy	Feb 10, 2025	$15,000 or less
(2).	Sold	Apr 11, 2025	$15,000 or less

11-M. - Vanguard Russell 1000 Value Index ETF — None

	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE	VALUE METHOD
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Feb 10, 2025	$15,000 or less	
	(2).	Sold	Apr 11, 2025	$15,000 or less	
11-N.	- iShares Core S&P Small Cap ETF		None		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold	Apr 11, 2025	$15,000 or less	
11-O.	- iShares Core MSCI Emerging Markets ETF		None		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Feb 10, 2025	$15,000 or less	
	(2).	Sold	Apr 11, 2025	$15,000 or less	
12.	**NYS 529 Coll Sav Pl - Target 2027**	$1,000 or less	Dividend	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Jan 9, 2025	$15,000 or less	
13.	**(H) IRA #2**				
13-A.	- Morgan Stanley Instl Discovery I		None		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold	Aug 6, 2025	$15,001 - $50,000	
	(2).	Sold (part)	Jan 3, 2025	$15,000 or less	
13-B.	- iShares S&P Mid Cap 400 ETF	$1,000 or less	Dividend	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold (part)	Jan 3, 2025	$15,000 or less	
13-C.	- iShares US Equity Factor Rotation Active ETF	$1,000 or less	Dividend	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Aug 6, 2025	$15,001 - $50,000	
13-D.	- JPMorgan Chase Finl Uncap Dual Directional Buf Lkd EFA SX5E		None	$15,001 - $50,000	Cash/Market
13-E.	- BOA Finance Enhanced Return Note Lkd INDU SPY Note		None	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Aug 29, 2025	$15,001 - $50,000	
13-F.	- PGIM Short Term Corp Bond Cl Z	$1,000 or less	Dividend		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold	Aug 6, 2025	$15,001 - $50,000	
13-G.	- Blackrock High Yield Instl Cl	$1,001 - $2,500	Dividend	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Jan 3, 2025	$15,000 or less	
13-H.	- MFS Emerging Markets Debt Cl I	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold (part)	Dec 12, 2025	$15,000 or less	
13-I.	- Doubleline Core Fixed Income I	$2,501 - $5,000	Dividend	$50,001 - $100,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Aug 6, 2025	$15,000 or less	
	(2).	Buy (add'l)	Jan 3, 2025	$15,000 or less	
13-J.	- Nuveen Preferred Secs & Income I	$1,000 or less	Dividend	$15,000 or less	Cash/Market

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	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE	VALUE METHOD
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold (part)	Dec 12, 2025	$15,000 or less	
	(2).	Sold (part)	Apr 11, 2025	$15,000 or less	
13-K.	- First Trust Capital Strength ETF	$1,000 or less	Dividend		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold	Aug 6, 2025	$15,001 - $50,000	
13-L.	- Citigroup Global Markets Hld Mkt Lkd NDX		None	$15,000 or less	Cash/Market
13-M.	- JPMorgan Chase Finl Co Cap Buf Ret Enh Note Lkd RTY		None		
13-N.	- Bank of America Dow Jones S&P 500 Enh Ret Note Lkd		None	$15,000 or less	Cash/Market
13-O.	- Dimensional US Target Value ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Aug 6, 2025	$15,000 or less	
13-P.	- JPMorgan Chase Finl Co Note RTY		None	$15,000 or less	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Aug 29, 2025	$15,000 or less	
13-Q.	- JPMorgan Chase Finl Co Cap Buf Ret Enh Note Lkd EEM		None		
13-R.	- JPMorgan Chase Finl Co Cap Buf Ret Enh Note EEM		None	$15,000 or less	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Aug 29, 2025	$15,000 or less	
13-S.	- Blackrock Emerging Markets Instl	$1,000 or less	Dividend		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold	Aug 6, 2025	$15,001 - $50,000	
13-T.	- PGIM Short Duration High Yield Income Z	$1,001 - $2,500	Dividend	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Jan 3, 2025	$15,000 or less	
13-U.	- First Trust Value Line Dividend Index ETF	$1,000 or less	Dividend		
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold	Aug 6, 2025	$50,001 - $100,000	
13-V.	- American Funds New World F2	$1,000 or less	Dividend	$15,000 or less	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Aug 6, 2025	$15,000 or less	
13-W.	- JPMorgan Chase Finl Co Buf Ret Enh Note NDX		None	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Aug 29, 2025	$15,000 or less	
13-X.	- JPMorgan Chase Finl Co Uncapp Dual Directl Buf Lkd EFA Note		None		
13-Y.	- iShares MSCI Intl Quality Factor ETF	$1,000 or less	Dividend	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Sold (part)	Dec 12, 2025	$15,000 or less	
	(2).	Buy (add'l)	Jan 3, 2025	$15,001 - $50,000	
13-Z.	- First Trust Small Cap Growth Alphadex ETF	$1,000 or less	Dividend	$15,000 or less	Cash/Market



	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE	VALUE METHOD
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy	Aug 6, 2025	$15,000 or less	
14.	**NYS 529 Coll Sav Pl - Target 2028**	$1,000 or less	Dividend	$15,001 - $50,000	Cash/Market
	Transactions	**Transaction Type**	**Transaction Date**	**Transaction Value**	
	(1).	Buy (add'l)	Jan 9, 2025	$15,000 or less	

VIII. Additional Information or Explanations

I do not have any Additional Information to report
No entries in this section