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 |
|---|---|---|
| Oliver, Vernon D. | U. S. District Court, Connecticut | 09/04/2024 |
| **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 (FT) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2023 **to** 12/31/2023 |
| **7. Chambers or Office Address** | | |
| United States District Court<br>Abraham Ribicott Federal Building<br>and United States Courthouse<br>Hartfod, CT 06103-3022 | | |

***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. | Member | Board of Directors: Lawyers Concerned For Lawyers, Connecticut |
| 2. | Member | Nominating Committee: Connecticut Hall of Change & Hang Time/Her Time |
| 3. | Judge of the Superior Court | State of Connecticut Judicial Branch |
| 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. | 1999 | Connecticut State Judges Pension System |
| 2. | 1999 | Connecticut State Employees Deferred Compensation Plan (457) |
| 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 | State of Connecticut (salary) | $195,167.00 |
| 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 | Town of North Haven, Connecticut (pension) |
| 2. 2023 | State of Connecticut Judicial Branch-Court Support Services Division |
| 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 |
|---|---|
| **Oliver, Vernon D.** | 09/04/2024 |

## 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. | Individual Assets (H) | | | | | | | | | |
| 2. | Connecticut State Employees Credit Union (cash) | A | Interest | K | T | | | | | |
| 3. | Webster Bank (cash) (Y) | | | | | | | | | |
| 4. | Account #1 (H) | | | | | | | | | |
| 5. | Ameriprise Insured Money Market Account (cash) | A | Interest | J | T | | | | | |
| 6. | Apple Inc (APPL) | A | Dividend | J | T | | | | | |
| 7. | Darden Restaurants Inc (DRI) | A | Dividend | J | T | | | | | |
| 8. | Exxon Mobil Corp (XOM) | A | Dividend | J | T | | | | | |
| 9. | Mastercard Inc Cl A (MA) | A | Dividend | J | T | | | | | |
| 10. | NVIDIA Corp (NVDA) | A | Dividend | K | T | Sold (part) | 12/18/23 | K | | |
| 11. | iShares Semiconductor ETF (SOXX) | | None | J | T | Buy | 12/18/23 | J | | |
| 12. | Pacer US Small Cap Cash Cows 100 ETF (CALF) | | None | J | T | Buy | 12/18/23 | J | | |
| 13. | Pacer US Cash Cows 100 ETF (COWZ) | | None | J | T | Buy | 12/18/23 | J | | |
| 14. | Boeing Company (BA) | | None | | | Sold | 12/18/23 | J | | |
| 15. | Home Depot, Inc (HD) | A | Dividend | | | Sold | 12/18/23 | J | | |
| 16. | PaypalHolding Inc (PYPL) | | None | | | Sold | 12/18/23 | J | | |
| 17. | Account #2 (H) | | | | | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 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 |
|---|---|
| **Oliver, Vernon D.** | 09/04/2024 |

## 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) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. Ameriprise Insured Money Market Account (cash) (Y) | | | | | | | | | |
| 19. Fidelity INVT Money Market Instl Cl (FNSXX) (cash eq.) | A | Dividend | | | Sold | 12/18/23 | K | | |
| 20. Fidelity Advisor Total Bond CL I (FEPIX) | A | Dividend | K | T | Buy | 12/18/23 | K | | |
| 21. JPMorgan Core Bond Cl I (WOBDX) | A | Dividend | J | T | Buy | 12/18/23 | J | | |
| 22. MFS Growth Class I (MFEIX) | B | Dividend | K | T | | | | | |
| 23. Booking Holdings INC (BKNG) | | None | | | Sold | 12/18/23 | J | | |
| 24. JP Morgan Chase & Co. (JPM) | A | Dividend | K | T | | | | | |
| 25. Microsoft Corp. (MFST) | A | Dividend | K | T | | | | | |
| 26. Ulta Beauty Inc. (ULTA) | | None | J | T | | | | | |
| 27. Vanguard Mega Cap Value ETF (MGV) | A | Dividend | J | T | | | | | |
| 28. Vanguard Mid Cap ETF (VO) | A | Dividend | K | T | | | | | |
| 29. Account #3 (H) | | | | | | | | | |
| 30. Ameriprise Insured Money Market Account (cash) (Y) | | | | | | | | | |
| 31. Columbia Total Return Bond Instl Cl (SRBFX) | | None | J | T | Buy | 12/18/23 | J | | |
| 32. Fidelity Advisor Strategic Income Cl I (FSRIX) | A | Dividend | K | T | | | | | |
| 33. Fidelity Advisor New Insights Cl I (FINSX) | A | Dividend | J | T | | | | | |
| 34. Advanced Micro Devices Inc (AMD) | | None | 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
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|---|---|
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|---|---|---|---|---|---|---|---|---|---|
| 35. Alphabet Inc Cl A (GOOGL) | | None | J | T | | | | | |
| 36. Amazon.com Inc (AMZN) | | None | J | T | | | | | |
| 37. Cigna Group CL B (CI) | A | Dividend | J | T | | | | | |
| 38. Humana Inc (HUM) | A | Dividend | J | T | | | | | |
| 39. Columbia Research Enhanced Core ETF (RECS) | | None | J | T | Buy | 12/18/23 | J | | |
| 40. Vanguard Value ETF (VTV) | A | Dividend | J | T | | | | | |
| 41. CVS Health Corp (CVS) | A | Dividend | | | Sold | 12/18/23 | J | | |
| 42. Ford Motor Co (F) | A | Dividend | | | Sold | 12/18/23 | J | | |
| 43. Salesforce Inc (CRM) | | None | | | Sold | 12/18/23 | J | | |
| 44. Account #4 (H) | | | | | | | | | |
| 45. Connecticut Stable Value | | None | | | Sold | 12/28/23 | K | | |
| 46. Vanguard Total Bond Market Index I (VBTLX) | | None | | | Sold | 12/28/23 | K | | |
| 47. American Funds American Mutual R6 (RMFGX) | | None | | | Sold | 12/28/23 | L | | |
| 48. TIAA-CREF Lg CapGr Idx Instl | | None | | | Sold | 12/28/23 | L | | |
| 49. Vanguard Instl Idx Instl Plus (VIIIX) | | None | | | Sold | 12/28/23 | L | | |
| 50. TIAA-CREF Sml Cap Bld Idx Instl | | None | | | Sold | 12/28/23 | L | | |
| 51. Vanguard Mid Cap Index Instl (VMCIX) | | None | | | Sold | 12/28/23 | L | | |

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|---|---|---|---|---|---|---|---|---|---|---|
| 52. | American Fd Europacific Gro R6 (RERGX) | | None | | | Sold | 12/28/23 | L | | |
| 53. | TIAA-CREF Intl Eq Idx Instl | | None | | | Sold | 12/28/23 | L | | |
| 54. | DFA Real Estate Securities I (DFREX) | | None | | | Sold | 12/28/23 | L | | |
| 55. | Account #5 (H) | | | | | | | | | |
| 56. | Connecticut Stable Value | | None | J | T | | | | | |
| 57. | Calvert Bond Fund Class I (CBDIX) | | None | J | T | | | | | |
| 58. | Metro West Total Return Fund (MWTIX) | | None | J | T | | | | | |
| 59. | Vanguard Total Bond Market Index I (VBTLX) | | None | J | T | | | | | |
| 60. | Vanguard Infl-Protected Secs I (VIPSX) | | None | J | T | | | | | |
| 61. | American Funds American Mutual R6 (RMFGX) | | None | J | T | | | | | |
| 62. | TIAA-CREF Lg CapGr Idx Instl | | None | J | T | | | | | |
| 63. | Vanguard Instl Idx Instl Plus (VIIIX) | | None | J | T | | | | | |
| 64. | JP Morgan Mid Cap Value I (JMVSX) | | None | J | T | | | | | |
| 65. | TIAA-CREF Sml Cap Bld Idx Instl | | None | J | T | | | | | |
| 66. | Vanguard Mid Cap Index Instl (VMCIX) | | None | J | T | | | | | |
| 67. | American Fd Europacific Gro R6 (RERGX) | | None | J | T | | | | | |
| 68. | TIAA-CREF Intl Eq Idx Instl | | None | J | T | | | | | |

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|---|---|---|---|---|---|---|---|---|---|
| 69. Vanguard Real Estate Idx Instl (VGSNX) (Y) | | | | | | | | | |
| 70. Account #6 (H) | | | | | | | | | |
| 71. Fidelity CT Moderate Growth | | None | J | T | | | | | |
| 72. Fidelity CT Aggressive Growth | | None | K | T | | | | | |
| 73. Fidelity CT Portfolio 2024 | | None | K | T | | | | | |
| 74. Account #7 (H) | | | | | | | | | |
| 75. Fidelity CT Aggressive Growth | | None | K | T | | | | | |
| 76. Fidelity CT Moderate Growth | | None | J | T | | | | | |
| 77. Fidelity CT Portfolio 2024 | | None | J | T | | | | | |
| 78. Account #8 (H) | | | | | | | | | |
| 79. Spectrum Moderate Growth Allocation (TRSGX) | | None | 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 | |
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| Name of Person Reporting | Date of Report |
|---|---|
| **Oliver, Vernon D.** | 09/04/2024 |

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value.

For ease of future reporting, Part VII of this report has been reorganized by account, in correspondence with related brokerage statements. As a result, more than one entry in Part VII may correspond with a single entry in the prior report. This is not indicative of reportable transactions.

| Name of Person Reporting | Date of Report |
|---|---|
| **Oliver, Vernon D.** | 09/04/2024 |

## 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/ Vernon D. Oliver**

**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
Suite G-330
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Washington, D.C. 20544