

**UNITED STATES SENATE
COMMITTEE ON THE JUDICIARY**

QUESTIONNAIRE FOR JUDICIAL NOMINEES

PUBLIC

1. **Name:** State full name (include any former names used).

Kari Anne Dooley
Kari Anne Pedersen

2. **Position:** State the position for which you have been nominated.

United States District Judge for the District of Connecticut

3. **Address:** List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

Office: Superior Court, 50 Field Street, Torrington, Connecticut 06790
Residence: Sandy Hook, Connecticut

4. **Birthplace:** State year and place of birth.

1963; New York, New York

5. **Education:** List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

1985 – 1988, University of Connecticut School of Law; J.D., 1988

1981 – 1985, Cornell University, College of Arts and Sciences; B.A., 1985

6. **Employment Record:** List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for your services. Include the name and address of the employer and job title or description.

2004 – present
State of Connecticut Judicial Department
Litchfield Judicial District
50 Field Street
Torrington, Connecticut 06790

Judge of the Superior Court

1992 – 2004

United States Attorney's Office for the District of Connecticut
157 Church Street
New Haven, Connecticut 06510
Assistant United States Attorney

1988 – 1992

Whitman and Ransom (now Whitman Breed Abbott and Morgan LLC)
500 West Putnam Avenue, 2nd Floor
Greenwich, Connecticut 06830
Associate Attorney

1988

Office of the Chief State's Attorney
300 Corporate Place
Rocky Hill, Connecticut 06067
Part-Time Research Intern

1986 – 1988

University of Connecticut School of Law Bookstore
35 Elizabeth Street Knight Hall
Hartford, Connecticut 06105
Part-Time Cashier/Clerk

1986 – 1987

University of Connecticut School of Law
Office of the Bursar/Business 55 Elizabeth Street
Hartford, Connecticut 06105
Part-Time Assistant

7. **Military Service and Draft Status:** Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social security number) and type of discharge received, and whether you have registered for selective service.

I did not serve in the military. I was not required to register for the selective service.

8. **Honors and Awards:** List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

University of Connecticut School of Law, graduated *cum laude* (1988)

9. **Bar Associations:** List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

Alternative Dispute Resolution Commission (2011)

American Judges Association (2011 – 2012)

Connecticut Bar Association (1988 – 1991)

Connecticut Judges Association (2004 – present)

President (2011 – 2012)

Vice President (2010 – 2011)

Secretary (2009 – 2010)

State of Connecticut Judicial Bench, Superior Court

Rules Committee, Member (2012 – 2014)

Sentence Review Division, Alternate (2009 – 2012)

10. **Bar and Court Admission:**

- a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

Connecticut, 1988

There have been no lapses in membership.

- b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

District of Connecticut, 1989

Southern District of New York, 1990

Second Circuit Court of Appeals, 1992

There have been no lapses in membership.

11. **Memberships:**

- a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held.

Include clubs, working groups, advisory or editorial boards, panels, committees, conferences, or publications.

American Inns of Court (2005 – 2016)

Cornell University Admissions Alumnae Ambassador Network (approx. 2014 – present)

Pi Beta Phi Fraternity (1982 – present)

Ridgewood Country Club (1999 – present)

- b. The American Bar Association's Commentary to its Code of Judicial Conduct states that it is inappropriate for a judge to hold membership in any organization that invidiously discriminates on the basis of race, sex, or religion, or national origin. Indicate whether any of these organizations listed in response to 11a above currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

Pi Beta Phi's membership is limited to women. To my knowledge, none of the other organizations listed above currently discriminates or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies.

12. Published Writings and Public Statements:

- a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

None.

- b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.

None.

- c. Supply four (4) copies of any testimony, official statements or other

communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.

Judiciary Committee of the State of Connecticut Legislature, Confirmation Hearing, Jan. 14, 2013. Questionnaire and transcript supplied.

Judiciary Committee of the State of Connecticut Legislature, Confirmation Hearing, Jan. 12, 2005. Transcript supplied.

Judiciary Committee of the State of Connecticut Legislature, Confirmation Hearing, Nov. 8, 2004. Transcript supplied.

- d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports about the speech or talk. If you do not have a copy of the speech or a transcript or recording of your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

September 30, 2010, Panelist, American Institute of Certified Public Accountants Conference ("AICPA") for Forensic Accountants, Boston, Massachusetts. The subject matter was the role of forensic accountants at trial and the judges' perspective as to what is and is not effective in terms of testimonial practices. I have no notes, transcript or recording. The address of the AICPA is 220 Leigh Farm Road, Durham, North Carolina 27707.

Outside of wholly personal speeches or talks I may have given—for example, toasts, eulogies, and religious instruction or commentary—the above represents my best recollection of all speeches or talks I have delivered since high school.

- e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you.

Former Lawyer Faces Sentence in Insurance Fraud Case, The Daily Oklahoman, September 23, 2003. Copy supplied.

Malpractice Insurer Sues Local Lawyer Linked to Frankel, The Tennessean, March 12, 2002. Copy supplied.

Frankel Pleads Not Guilty, Asks Again to Move, The Blade, March 3, 2001. Copy

supplied.

Lasaga Confinement Lifted, New Haven Register, February 5, 1999. Copy supplied.

Lawyer: Tom Leonard Will Plead Guilty, The News-Times, October 23, 1997. Copy supplied.

13. **Judicial Office:** State (chronologically) any judicial offices you have held, including positions as an administrative law judge, whether such position was elected or appointed, and a description of the jurisdiction of each such court.

From November 9, 2004 through the present, I have served as a Judge of the Superior Court for the State of Connecticut. I was appointed to this position by Governor M. Jodi Rell. The Superior court is a trial court of general jurisdiction which includes jurisdiction over all matters returnable to the Superior Court to include civil, criminal, family, housing and juvenile matters.

- a. Approximately how many cases have you presided over that have gone to verdict or judgment? 70

- i. Of these, approximately what percent were:

jury trials:	50%
bench trials:	50% [total 100%]
civil proceedings:	81%
criminal proceedings:	19% [total 100%]

- b. Provide citations for all opinions you have written, including concurrences and dissents.

Please see attached list.

- c. For each of the 10 most significant cases over which you presided, provide: (1) a capsule summary of the nature the case; (2) the outcome of the case; (3) the name and contact information for counsel who had a significant role in the trial of the case; and (3) the citation of the case (if reported) or the docket number and a copy of the opinion or judgment (if not reported).

1. *Pursuit Partners, et al. v. UBS, et al.*, Dkt. No. UWY CV 08-4033148 (2015)

This case arose out of the sale of collateralized debt obligations ("CDOs") in 2007 shortly before they were downgraded by Moodys from an A rating to a "junk" rating. The plaintiffs, a hedge fund and its management, brought suit against UBS and Moodys alleging that UBS was aware of the imminent downgrade when it sold tens of millions of dollars worth of CDOs to the plaintiffs. There was

extensive pretrial litigation and multiple motions in limine filed and heard. The parties settled the case following jury selection but prior to the first day of evidence.

Plaintiffs' Counsel:

David Hersch
Burg Simpson
40 Inverness Drive East
Englewood, CO 80122
303-708-0527

Michael Burg
Burg Simpson
40 Inverness Drive East
Englewood, CO 80122
303-708-0527

UBS's Counsel:

Dane Butswinkas
Williams and Connelly
725 12th Street N.W.
Washington D.C. 20005
202-434-5000

Andrew Rudge
Williams and Connelly
725 12th Street N.W.
Washington D.C. 20005
202-434-5000

2. *MacDermid, Inc. v. Cookson Group PLC et al.*, Dkt. No. UWY CV 12-6016356 (2015)

MacDermid Incorporated was once a publically traded company. In 2006, a group of investors, who were also MacDermid management insiders, sought to purchase all of the outstanding stock for \$35.00 per share, thereby taking the company private. During that process, defendant Cookson Group, PLC and its affiliates also submitted a bid to purchase MacDermid. The management insiders' purchase price was approved by a Special Committee established to evaluate offers to purchase MacDermid. The Special Committee's approval of the management insiders' offer and its rejection of the Cookson offer was challenged in court. Two cases involving this same transaction were consolidated for hearing. On the eve of trial, the parties settled their claims.

MacDermid, Inc.'s Counsel:

James Robertson
Carmody Torrance Sandak and Hennessy
50 Leavenworth Street
Waterbury, CT 06702
203-573-1200

Fatima Lahnin
Carmody Toarrance Sandak and Hennessy
50 Leavenworth Street
Waterbury, CT 06702
203-573-1200

Cookson Group PLC's Counsel:

Bart Totten
Adler Pollock and Sheehan, PC
One Citizens Plaza, 8th Floor
Providence, RI 02903
401-274-7200

Nicole Benjamin
Adler Pollock and Sheehan, PC
One Citizens Plaza, 8th Floor
Providence, RI 02903
401-274-7200

3. *St. Pierre, Executrix v. Yale University et al.*, Dkt No. UWY 13-6023885 (2016)
St. Pierre, Executrix v. SigEp Connecticut Delta et al., Dkt No. UWY CV 14-6023607 (2016)
Short v. Ross et al., Dkt. No. UWY CV 126023797 (2016)
Short v. SigEp Connecticut Delta et al., Dkt. No. UWY CV 14-6023606 (2016)

Four lawsuits were brought as a result of an accident during the tailgate of the 2009 Yale - Harvard football game. A rented U-Haul, driven by a member of a Yale fraternity, accidentally struck and killed one person and seriously injured another. The suits named multiple defendants many of whom entered into settlements with the plaintiffs early in the litigation. The lawsuits also included the local fraternity which had rented the U-Haul for a fraternity sponsored tailgate, the fraternity's national organization as well as each of the individual members. I was called upon to decide whether and to what extent if at all, the national organization could be held liable for the acts of the local chapter. I was also called upon to decide the extent, if any, of the liability of the individual members of the fraternity, which was an unincorporated association under

Connecticut law. The cases all settled in the weeks leading up to the trial of the first case.

Sarah Short's Counsel:

Eric Smith
Faxon Law Group
59 Elm Street
New Haven, CT 06510
203-624-9500

Paula St. Pierre's Counsel:

Paul Edwards
Deakin, Edwards and Clark, LLC
245 Amity Road, Suite 200
Woodbridge, CT 06525
203-387-5100

Local Fraternity Members Counsel:

Jeremy Platek
Boeggeman, George and Corde, PC
3 Barker Ave. 9th Floor
White Plains, NY 10601
914-761-2252

National Fraternity Counsel:

Calvin Woo
Verrill Dana LLP
33 Riverside Ave.
Westport, CT 06880
203-222-0885

4. *O&G Industries Inc., et al v. Ace American Insurance Company et al.*, Dkt. No. X10 UWY CV 136021704 (2016)
Kleen Energy Systems, Inc. v. Ace American Insurance Company et al., Dkt. No. X10 UWY CV 136021750 (2016)

These consolidated cases arose out of the explosion at the Kleen Energy plant in Middletown Connecticut, which was nearing the end of construction at the time of the explosion. At issue, was the extent of the coverage afforded Kleen Energy, the general contractor on the construction site, and several subcontractors under the builder's all risk policy issued by a consortium of insurance companies. These cases settled prior to trial.

Kleen Energy Systems, Inc.'s Counsel:

Edward Joyce
Jones Day
250 Vesey Street
New York, NY 10281
212-326-3939

O&G Industries, Inc.'s Counsel:

Dennis Artese
Anderson Kill
1251 Avenue of the Americas
New York, NY 10020
212-278-1246

Keystone Construction Corp.'s Counsel:

Jared Cohane
Hinkley Allen
20 Church Street
Hartford, CT 06103
860-725-6200

Insurer Defendants Counsel:

Charles Rocco
Foran Glennon Palandech Ponzi & Rudloff
40 Wall Street, 54th Floor
New York, NY 10005
212-257-7100

5. *NUSCO and CL&P v. American Electrical Testing v. Corcoran and Haviland*,
Dkt. No. UWY CV 10-6005436 (2015)

This breach of contract case arose out of a fatal explosion at a CL&P transfer station. The defendant American Electrical Testing ("AET") was a subcontractor performing work for CL&P at the site. Under the terms of the contract, AET was required to secure certain insurance to protect CL&P from exposure as a result of injuries arising out of AET's work. After the explosion, the carrier on the policies procured by AET denied coverage for claims brought by the injured workers, a decision vindicated by way of a declaratory judgment action in federal court. CL&P then sued AET for failing to procure the insurance required under their agreement. AET denied that it was required to procure coverage for the type of claims made against CL&P by the injured workers or their representatives. Alternatively, AET brought a third party complaint against its insurance broker

for failing to procure the appropriate insurance required under the contract. The case was tried to a jury over the course of several days. The jury returned a verdict for AET and did not reach the third party complaint.

NUSCO and CL&P's Counsel:

Richard Street
Carmody Torrance, Sandak and Hennessey LLP
50 Leavenworth Street
Waterbury, CT 06702
203-573-1200

Maureen Cox
Carmody Torrance, Sandak and Hennessey LLP
50 Leavenworth Street
Waterbury, CT 06702
203-573-1200

AET's Counsel:

Kenneth Walton
Lewis Brisbois
One International Place, Suite 350
Boston, MA 02110
857-313-3936

Corcoran and Haviland's Counsel:

William Chapman
Melick and Porter LLP
One Liberty Square
Boston, MA 02109
617-523-6200

6. *Morrin v. Koplin*, Dkt. No. UWY CV 11-6012598 (2014)

This wrongful death action arose out of the defendant's alleged failure to diagnose and treat the plaintiff's decedent's major depressive disorder. The plaintiff's decedent killed his wife and then committed suicide. The case was tried to a jury over the course of several days. The jury returned a verdict in favor of the plaintiff and awarded damages in the amount of \$8.0 million. Thereafter, the case settled on appeal.

Plaintiff's Counsel:

Josh Koskoff

Koskoff, Koskoff and Bieder
350 Fairfield Avenue
Bridgeport, CT 06604
203-583-8634

Alinor Sterling
Koskoff, Koskoff and Bieder
350 Fairfield Avenue
Bridgeport, CT 06604
203-583-8634

Defendant's Counsel:

James Rosenblum
Rosenblum Newfield, LLC
One Landmark Square
Stamford, CT 06901
475-299-9997

7. *Durham v. USA Hauling, Inc.*, Dkt. No. UWY CV 08-5008639 (2012)

This case was a personal injury action. The plaintiff suffered severe and permanent injuries when he walked onto a section of the tipping floor of a transfer station, which was clearly marked as off limits to pedestrian traffic, and was accidentally run over by a dump truck that was backing up on the tipping floor. The defense asserted contributory negligence in excess of 50%, which would extinguish liability under Connecticut law. The case was tried to a jury, which returned a plaintiff's verdict. The jury apportioned fault on a 50% – 50% basis, thereby reducing the damages award by half.

Plaintiff's Counsel:

George Kramer
Law Offices of George W. Kramer
30 Clemens Court
Rocky Hill, CT 06067
860-212-4871

Defendant's Counsel:

Robert Shields
Sharp, Shields and Smith
500 Enterprise Drive, #4B
Rocky Hill, CT 06067
860-571-8577

8. *State v. Pitera*, 126 Conn. App. 497 (2011)

This was a criminal prosecution on two counts of manslaughter in the 2nd degree and several counts of assault in the 2nd degree, among other charges. The defendant was accused of operating a motor vehicle while intoxicated causing a collision, which resulted in the deaths of two of her young children, and severe injuries to the third. A jury heard evidence over the course of several days and acquitted the defendant of most, but not all, charges.

Counsel for the State:

Richard Palumbo
State's Attorneys Office
172 Golden Hill Street
Bridgeport, CT 06604
203-579-6555

Defense Counsel:

Norm Pattis
Pattis and Smith Law Firm
383 Orange Street
New Haven, CT 06511
203-393-3017

9. *In re: Mariah P.*, 50 Conn. Sup. 594 (2007)

This case involved the filing of a petition to terminate the parental rights of a mother and father who had five children. The children spanned a significant age range and each had differing levels of understanding as to the reasons they had been removed from their parents' care. The family, once happy and healthy, unraveled when first father and then mother became drug addicted. The case was tried to the court. Ultimately, I terminated the parental rights with respect to the three youngest children, but did not terminate the parental rights with respect to the two oldest, both of whom were fully aware of their parents' struggles and neither of whom wanted the court to sever their parents' rights.

Plaintiff's Counsel:

Susmita Mansukhani
Assistant Attorney General
55 Elm Street
Hartford, CT 06106
860-808-5318

Defense Counsel:

Scott Chamberlain
Scott B. Chamberlain Law Offices
275 Greenwood Avenue
Bethel, CT 06801
203-798-2877

10. *State v. Marshall*, 114 Conn. App. 178 (2009)

This was a criminal prosecution wherein the defendant was accused of significant and substantial narcotics trafficking in Norwalk, Connecticut. The first trial, which was heard before another judge, resulted in a mistrial. I was assigned the case upon retrial. On retrial, a jury convicted the defendant and he was sentenced to ten years of incarceration followed by six years of special parole.

Counsel for the State:

Michael DeJoseph
Assistant State's Attorney
1061 Main Street
Bridgeport, CT 06604
203-579-6506

Defense Counsel:

William Pelletreau
William A. Pelletreau LLC
5 Mott Avenue
Norwalk, CT 06850
203-838-0529

- d. For each of the 10 most significant opinions you have written, provide: (1) citations for those decisions that were published; (2) a copy of those decisions that were not published; and (3) the names and contact information for the attorneys who played a significant role in the case.

1. *Short v. Brendan Ross, et al*, 2015 WL 5981142 (Sep. 16, 2015)
St. Pierre v. Yale University, et al
Short v. SigEp Connecticut Delta, et al.
St. Pierre v. SigEp Connecticut Delta, et al.

Plaintiffs' Counsel:

Paul Edwards

Deakin, Edwards & Clark LLC
245 Amity Road, Suite 200
Woodbridge, CT 06525
203-387-5100

Eric Smith
The Faxon Law Group
59 Elm Street
New Haven, CT 06510
203-624-9500

Defense Counsel:

Jeremy Platek
Boeggeman, George and Corde, P.C.
3 Barker Avenue, 4th Floor
White Plains, NY 10601
914-761-2252

2. *O&G Industries Inc., et al v. Ace American Insurance Company et al.*, 2014 WL 1814270 (April 9, 2014)

Plaintiffs' Counsel:

Dennis Artese
Anderson Kill
1251 Avenue of the Americas
New York, NY 10020
212-278-1246

Jared Cohane
Hinckley Allen
20 Church Street
Hartford, CT 06103
860-725-6200

Defense Counsel:

Charles Rocco
Foran Glennon Palandech Ponzi & Rudloff PC
40 Wall Street, 54th Floor
New York, NY 10005
212-257-7100

3. *North Star Contracting Corp. v. Albright et al.*, 2013 WL 6171428 (Oct. 25, 2013)

Plaintiff's Counsel:

Ira Sacks
Akerman LLP
1 FDR Drive
New York, NY 10004
212-859-8000

Defense Counsel:

Ian Bjorkman
Law Offices of Ian E. Bjorkman LLC
900 Chapel Street #621
New Haven, CT 06510
203-773-9110

4. *Cook et al., v. Family Dollar Stores of Connecticut, Inc.*, 2013 WL 1406821
(March 18, 2013)

Plaintiffs' Counsel:

Richard Hayber
Hayber Law Firm
221 Main Street #502
Hartford, CT 06106
860-522-8888

Defense Counsel:

Joel Cohn
Akin Gump Strauss Hauer and Feld, LLP
1333 New Hampshire Avenue, N.W.
Washington, D.C. 20036
202-887-4065

5. *Journal Publishing Co., Inc v. The Hartford Courant Company*, 2014 WL
5094970 (Sep. 4, 2014)

Plaintiff's Counsel:

Richard Weinstein
Weinstein and Wisser
29 South Main Street
West Hartford, CT 06107
860-561-2628

Defense Counsel:

William Fish
Hinckley Allen
20 Church Street
Hartford, CT 06103
860-725-6200

6. *MacDermid, Inc. v. Leonetti*, 2012 WL 3064616 (June 22, 2012)

Plaintiff's Counsel:

John Horvack
Carmody Torrance Sandak and Hennessey
50 Leavenworth Street
Waterbury, CT 06702
203-573-1200

Defense Counsel:

Kathleen Eldergill (deceased)

7. *Greenwald v. Van Handel*, 2012 WL 753779 (Feb. 16, 2012)

Plaintiff's Counsel:

James Brennan
Brennan Law Firm
207 Bank Street, 4th Floor
Waterbury, CT 06702
203-528-0152

Defense Counsel:

Liam West
Ryan Ryan Deluca LLP
707 Summer Street
Stamford, CT 06901
203-541-5051

8. *In Re: Samantha S.*, 2007 WL 3316516 (Sept. 14, 2007)

Plaintiff's Counsel:

Susmita Mansukhani

Assistant Attorney General
55 Elm Street
Hartford, CT 06106
860-808-5318

Defense Counsel:

Gail Bedoukian
PO Box 3356
Danbury, CT 06813
203-241-9372

9. *In Re: Mariah P.*, 50 Conn. Sup. 594 (2007)

Plaintiff's Counsel:

Susmita Mansukhani
Assistant Attorney General
55 Elm Street
Hartford, CT 06106
860-808-5318

Defense Counsel:

Scott Chamberlain
Scott B. Chamberlain Law Office
275 Greenwood Avenue
Bethel, CT 06801
203-798-2877

10. *Mary Grey et al. v. Stamford Health Systems, Inc., et al.*, 2005 WL 1545302
(June 6, 2005)

Plaintiff's Counsel:

Carey Reilly
Koskoff Koskoff and Beider
350 Fairfield Avenue, Suite 501
Bridgeport, CT 06604
203-583-8634

Defense Counsel:

Madonna Sacco
Heidell, Pittoni, Murphy and Bach, LLP
855 Main Street

Bridgeport, CT 06604
203-382-9700

- e. Provide a list of all cases in which certiorari was requested or granted.

None.

- f. Provide a brief summary of and citations for all of your opinions where your decisions were reversed by a reviewing court or where your judgment was affirmed with significant criticism of your substantive or procedural rulings. If any of the opinions listed were not officially reported, provide copies of the opinions.

Multari v. Yale New Haven Hospital, 2013 WL 1004293 (Conn. Super. Ct.), *rev'd* 145 Conn. App. 253 (2013). I dismissed this action for failure by the plaintiff to file a certificate of good faith and opinion letter regarding the allegations of medical malpractice as required under Connecticut statutes. My decision was reversed and remanded for further proceedings finding that although there were allegations, which were concededly allegations of professional negligence, the Appellate Court determined that some of the allegations sounded in ordinary negligence. As such, the certificate and opinion letter was not required as to those allegations.

Dorry v. Garden et al., 2013 WL 1800824 (Conn. Super. Ct.), *rev'd* 313 Conn. 516 (2014). I dismissed this wrongful death action on statute of limitations grounds. I determined that the action could not be "saved" under our savings statute in light of the manner by which service was attempted in the original action. The Supreme Court reversed finding that the flawed service did not mean that the original action had never been commenced as required for Connecticut's saving statute.

MacDermid, Inc. v. Cookson Group, PLC., 2013 WL 1492988 (Conn. Super. Ct.), *rev'd* 149 Conn. App. 571 (2014). I dismissed this cause of action under the prior pending action doctrine because I had the same parties before me in a companion case and the claims asserted had already been precluded (by a prior judge) from the already pending matter. The plaintiffs argued that the defendant should be judicially estopped from seeking dismissal. I disagreed. The Appellate Court reversed on the issue of judicial estoppel and remanded the case for further proceedings.

- g. Provide a description of the number and percentage of your decisions in which you issued an unpublished opinion and the manner in which those unpublished opinions are filed and/or stored.

The overwhelming majority of my written decisions are unpublished. Decisions that do not require significant fact-finding or legal analysis are often simply

entered into the electronic filing system as court orders. Decisions that require either factual findings or a more involved legal analysis are issued as Memoranda of Decision. The Memorandum of Decision in any given case is then filed with the Clerk of the Court. Although they are not officially published, they are often picked up by the online reporting services and given unofficial citations. Some decisions are therefore available online as well.

- h. Provide citations for significant opinions on federal or state constitutional issues, together with the citation to appellate court rulings on such opinions. If any of the opinions listed were not officially reported, provide copies of the opinions.

State v. Morrison, 2009 WL 2357478 (June 16, 2009).

State v. Ventry, 2016 WL 7665374 (Nov. 25, 2016).

- i. Provide citations to all cases in which you sat by designation on a federal court of appeals, including a brief summary of any opinions you authored, whether majority, dissenting, or concurring, and any dissenting opinions you joined.

I have never sat by designation on a federal court of appeals.

14. **Recusal:** If you are or have been a judge, identify the basis by which you have assessed the necessity or propriety of recusal (If your court employs an "automatic" recusal system by which you may be recused without your knowledge, please include a general description of that system.) Provide a list of any cases, motions or matters that have come before you in which a litigant or party has requested that you recuse yourself due to an asserted conflict of interest or in which you have recused yourself sua sponte. Identify each such case, and for each provide the following information:

- a. whether your recusal was requested by a motion or other suggestion by a litigant or a party to the proceeding or by any other person or interested party; or if you recused yourself sua sponte;
- b. a brief description of the asserted conflict of interest or other ground for recusal;
- c. the procedure you followed in determining whether or not to recuse yourself;
- d. your reason for recusing or declining to recuse yourself, including any action taken to remove the real, apparent or asserted conflict of interest or to cure any other ground for recusal.

I was asked on one occasion to recuse myself by a self-represented litigant who claimed bias. I asked a colleague to preside over the hearing on the motion. My colleague denied the motion. The litigant then filed a lawsuit against me and again sought my recusal. In light of the fact that one of the matters pending before me involved a defamation action against a news media outlet for reporting that the litigant filed frivolous lawsuits, I became concerned that my status as a

defendant in the lawsuit, could raise questions as to the objective impartiality of the court. I therefore recused myself.

I have recused myself *sua sponte* in one matter based upon a financial interest in one of the parties. The case involved a putative class action against a financial institution in which I held stock.

From mid-2006 through 2008, I was the executrix of my mother's estate. During that time, I did not hear matters in which the estate lawyer, or other members of his firm, was appearing.

During my time as a judge of the Superior Court, I have sought to comply with the Code of Judicial Conduct as well as Practice Book Section 1-22 regarding recusal and disqualification, disqualifying myself in circumstances mandated by these provisions or in any case where my impartiality might reasonably be questioned.

15. Public Office, Political Activities and Affiliations:

- a. List chronologically any public offices you have held, other than judicial offices, including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

None.

- b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

None.

16. Legal Career: Answer each part separately.

- a. Describe chronologically your law practice and legal experience after graduation from law school including:
 - i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

I have not served as a clerk to a judge.

- ii. whether you practiced alone, and if so, the addresses and dates;

I have not practiced alone.

- iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

1988 – 1992

Whitman and Ransom (now Whitman Breed Abbott and Morgan LLC)
500 West Putnam Avenue, 2nd Floor
Greenwich, Connecticut 06830
Associate Attorney

1992 – 2004

United States Attorney's Office for the District of Connecticut
157 Church Street
New Haven, Connecticut 06510
Assistance United States Attorney

- iv. whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant matters with which you were involved in that capacity.

I did not serve as a mediator or arbitrator when I was a practicing attorney.

b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.

While in private practice, from 1988 to 1992, I was involved in a broad spectrum of both civil and criminal litigation. There was no specialization or particular focus to the scope of my practice.

In 1992, I joined the Criminal Division of the United States Attorney's Office for the District of Connecticut. I had a single client, the United States, and my practice was devoted to investigating and prosecuting criminal matters until I left the office in 2004. During my tenure at the United States Attorney's Office, I also held a number of positions and titles which entailed additional responsibilities within the office. These included: Counsel to the United States Attorney; Supervisory Assistant United States Attorney; Child Exploitation Coordinator; Professional Responsibility Officer, and Senior Litigation Counsel.

- ii. your typical clients and the areas at each period of your legal career, if any, in which you have specialized.

While in private practice, the clients varied. The firm did personal injury work for both plaintiffs and defendants (insurance companies). The firm represented small businesses in contract or collection matters. The firm had large corporate clients as well. The firm represented individuals in land use matters or those charged with criminal offenses.

At the United States Attorney's Office, the client was the United States, though I worked with a number of different agencies including the FBI, the DEA, ICE, DSS, USPIS, and Secret Service. I specialized in federal criminal law and, over time, developed a few subspecialties including crimes against children and tax fraud.

- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally, or not at all. If the frequency of your appearances in court varied, describe such variance, providing dates.

My entire career as a practicing lawyer was in litigation. While in private practice (1988 – 1992), I was given the opportunity to appear in court at least once a month. This increased over time. While at the United States Attorney's Office (1992 – 2004), I was in court at least once a week.

- i. Indicate the percentage of your practice in:

- | | |
|-----------------------------|-----|
| 1. federal courts: | 85% |
| 2. state courts of record: | 15% |
| 3. other courts: | 0% |
| 4. administrative agencies: | 0% |

- ii. Indicate the percentage of your practice in:

- | | |
|--------------------------|-----|
| 1. civil proceedings: | 15% |
| 2. criminal proceedings: | 85% |

- d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel.

To my recollection, I have tried at least 13 cases to verdict. I was sole counsel in 9 of these trials. I was chief counsel in 1 trial and associate counsel in 3 trials.

- i. What percentage of these trials were:

- | | |
|--------------|-----|
| 1. jury: | 92% |
| 2. non-jury: | 8% |

- e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any

oral argument transcripts before the Supreme Court in connection with your practice.

I have not practiced before the Supreme Court of the United States.

17. **Litigation:** Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the case. Also state as to each case:

- a. the date of representation;
- b. the name of the court and the name of the judge or judges before whom the case was litigated; and
- c. the individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.

1. *United States v. Philip Giordano*, No. 3:01 – cr- 00216 (SRU) (D. Conn.) (2003)
(before Judge Alan H. Nevas)

I was one of several attorneys representing the United States in this prosecution of the former mayor of Waterbury, Connecticut. He was charged with civil rights violations as well as sexual assault as a result of his repeated sexual abuse of two young girls under the auspices of the Mayor's Office. I was brought into the case to interview, prepare, and ultimately present the testimony of the child victims. Both victims testified at the trial, which occurred in 2003. The defendant was convicted and sentenced to 37 years in prison. The conviction was appealed to the Second Circuit Court of Appeals and affirmed in 442 F.3d 30 (2d Cir. 2006).

Lead Counsel:

Peter Jongbloed
United States Attorneys Office for the District of Connecticut
157 Church Street
New Haven, Connecticut 06510
203 821-3700

Defense Counsel:

Andrew Bowman
Law Office of Andrew B. Bowman
1804 Post Road East
Westport, CT 06880

203-255-2570

2. *United States v. Martin Frankel*, No. 3:99-cr-00235 (JCH) (D. Conn.) (2004)(before Judge Ellen Bree Burns)

I was one of two attorneys representing the United States in this investigation and prosecution, which began in 1999 and concluded in 2004. The defendant was accused of racketeering, money laundering, and fraud in connection with his fraudulent and secret acquisition of, and subsequent looting of seven insurance companies in Tennessee, Mississippi and other states. When his scheme was about to unravel, he fled the United States with millions of dollars in diamonds procured with insurance company funds. He was captured in Germany and extradited to the United States. He pled guilty and was sentenced to 15 years in prison.

Co-Counsel:

Mark Califano
Senior Vice President, Managing Counsel
American Express
7 Richmond Drive
Old Greenwich, CT 06870
203-451-2040

Defense Counsel:

Jeremiah Donovan
Law Offices of Jeremiah and Terry Donovan
123 Elm Street, Unit 400
Old Saybrook, CT 06975
860-388-3750

3. *United State v. David Rosse*, No. 3:99-cr-00276 (EBB) (D. Conn.)(2002) (before Judge Ellen Bree Burns)

I was one of two attorneys representing the United States in this prosecution, which arose out of the investigation into the fraud scheme perpetrated by Martin Frankel. This defendant was Mr. Frankel's chief of security, David Rosse. Early on in the investigation, Mr. Rosse was implicated in the purchase of diamonds with the stolen funds, as well as Mr. Frankel's flight from justice. Investigators further determined that Mr. Rosse had stolen some of the diamonds prior to their delivery to Mr. Frankel. Although Mr. Rosse cooperated with investigators, he concealed his theft of the diamonds and otherwise impeded their recovery for the victims. He pled guilty to a conspiracy charge and was sentenced to a period of incarceration. The investigation and prosecution began in 1999 and concluded in 2002.

Defense Counsel:

Joseph Martini
Wiggin and Dana
281 Tresser Boulevard
Stamford, Connecticut
203 363-7603

4. *United States v. Theodore Wells*, No. 3:03-cr-00160 (JCH) (D. Conn.) (2004)(before Judge Alan H. Nevas)

I represented the United States as sole counsel in this investigation and prosecution which began in 2003 and concluded in 2004. The defendant was originally charged with the interstate transportation of a minor for illicit sexual purposes. This was his third arrest for such activity. He had lured a troubled 15 year old girl out of her home, met her at a local bus station and then took her to Pennsylvania where he engaged in inappropriate and illegal sexual activity with her. The victim was able to contact a family friend who drove to Philadelphia to retrieve her. On the eve of trial, the defendant pled guilty to kidnapping. After I left the U.S. Attorneys Office, the defendant was sentenced to 10 years in prison.

Defense Counsel:

Thomas Belsky (retired)

5. *United States v. Antonio Lasaga*, 328 F. 3d 61 (2d Cir. 2003) (before Judge Alvin W. Thompson)

I represented the United States as sole counsel in this investigation and prosecution which began in 1998 and concluded by plea and sentencing in 2002. The defendant was a prominent Yale University geology professor accused of amassing hundreds of thousands of images of child pornography. During the investigation, it also became apparent that the defendant had been sexually abusing a young boy for whom he was a mentor in the New Haven Public School system. He also produced child pornography in connection with the sexual abuse of this child. I worked closely with the FBI as well as the State prosecutorial authorities. The defendant pled guilty to the child pornography charges on the eve of trial. By way of global agreement, he also pled guilty to sexual assault in the state courts. He was sentenced to 15 years in prison.

Defense Counsel:

William F. Dow
Jacobs and Dow
350 Orange Street
New Haven, Connecticut
203 772-3100

6. *United States v. Alex Cole*, No. 3:01-cr-00205 (SRU) (D. Conn.) (2002)(before Judge Alan H. Nevas)

I represented the United States in this investigation and prosecution which began in 2001 and concluded in 2002. The defendant, a former major league baseball player, was implicated in a plan to import in excess of a kilogram of heroin into Connecticut. Undercover officers were inserted into the plan and arrangements for a sale to take place in Bridgeport were made. The defendant, then playing for the local minor league team, the Bridgeport Bluefish, was arrested, pled guilty and was sentenced.

Co-counsel:

James Finnerty
Director, Global Commercial Banking
AML Compliance Risk Management
Citigroup, Inc.
One Court Square
Long Island City, NY 11120
718-248-9560

Defense Counsel:

Timothy Aspinwall
Aspinwall and Aspinwall
3200 Main Street
Stratford, CT 06614
203-377-7348

7. *United States v. Adrian Peeler*, No. 3:99-cr-00067 (AVC) (D. Conn.)(2000) (before Judge Alan H. Nevas)

I was one of several attorneys representing the United States in this investigation and prosecution. The investigation began following the homicide of a seven-year-old boy and his mother in Bridgeport in January 1999. The investigation focused on narcotics trafficking by brothers Adrian and Russell Peeler and whether the murders were connected to their narcotics trade. I was co-counsel throughout the labor intensive grand jury investigation and concluded my involvement in November 1999. I was not counsel during any of the trials that were held as a result of this investigation. Eventually, sufficient evidence was developed to prosecute the Peeler brothers for both of the murders as well as a significant narcotics trafficking business. The State undertook the prosecution for the murders. The US Attorney's Office undertook the prosecution for the narcotics offenses. Adrien Peeler pled guilty and was sentenced to 420 months in prison.

Lead Counsel:

James I. Glasser

Wiggin and Dana, LLP
One Century Tower
New Haven, CT 06508
203-498-4313

Defense Counsel:

Bruce Koffskey
Koffskey and Felsen, LLC
1150 Bedford Street
Stamford, CT 06905
203-327-1500

8. *United States v. Thomas Leonard*, No. 3:97-cr-00079 (PCD) (D. Conn.) (1998)
(before Judge Peter C. Dorsey)

I represented the United States as sole counsel in this prosecution for tax evasion which arose out of the defendant's skimming of cash receipts from the Stew Leonard's grocery store in Danbury, Connecticut. The defendant, a one-fourth owner of the store, was also its manager. He was skimming cash receipts, keeping them off of the books, and converting them for his personal use. The defendant pled guilty.

Defense Counsel:

Hugh F. Keefe
Lynch, Traub, Keefe and Errante
350 Orange Street
New Haven, Connecticut 06510
203-800-7343

9. *United States v. Michael Morgan*, No. 3:93-cr-00212 (PCD) (D. Conn.) (1996) (before Judge T.F. Gilroy Daly (trial) and Judge Peter C. Dorsey (sentencing))

I represented the United States in this prosecution. The case went to trial in 1996. The defendant, the former President of Charter Federal Savings and Loan Association, was accused in multiple counts of bank fraud and related charges. When the Resolution Trust Corporation placed the bank in receivership, the Office of Thrift Supervision uncovered a number of transactions which appeared to be fraudulent in nature. The FBI's investigation led to the same conclusion. I was lead counsel on the case. The defendant was convicted and sentenced. He first appealed an interlocutory decision denying his motion to dismiss on double jeopardy grounds. That decision was affirmed in 51 F. 3d 1105 (2d Cir. 1995). The defendant later appealed his conviction which was also affirmed in 113 F. 3d 1230 (2d Cir. 1997). I authored the government's brief and argued the appeal before the Second Circuit Court of Appeals

Co-Counsel:

Hon. Barbara Bailey Jongbloed
Judge of the Superior Court
New London Judicial District
70 Huntington Street
New London, CT 06320
860-442-2977

Defense Counsel:

Hubert Santos
Law Office of Hubert J. Santos
51 Russ Street
Hartford, CT 06106
860-249-6548

10. *United States v. Michael Stinson*, No. 3:94-cr-0050 (VLB) (D. Conn.) (1994) (before Judge Alan H. Nevas)

I represented the United States as sole counsel in this prosecution. The case went to trial in 1994. The defendant was charged with the armed robbery of the United States Postal Service Station on the East Side of Bridgeport. The evidence tying the defendant to the crime was largely circumstantial. The exception to this was the testimony of a co-defendant who robbed the business with him and had entered into a cooperation agreement with the government. The circumstantial evidence provided sufficient corroboration to the accomplice testimony. The defendant was convicted.

Defense Counsel:

Alfred Pavlis
Finn Dixon
6 Landmark Square
Stamford, Connecticut 06901
203-325-5056

18. **Legal Activities:** Describe the most significant legal activities you have pursued, including significant litigation which did not progress to trial or legal matters that did not involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organizations(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege.)

Within the US Attorney's Office, I held various positions of responsibility in addition to the prosecutorial work of the office. I was Counsel to the United States Attorney, albeit briefly before my appointment to the State court bench, which required that I be available

for consultation on both the administrative and substantive aspects of the office activities. I was a Supervisory Assistant United States Attorney, overseeing the administrative and prosecutorial work of the Bridgeport Office. I was the Child Exploitation Coordinator which entailed the formation and oversight of a task force made up of state, local and federal law enforcement agencies dedicated to investigating crimes against children. I was, for a time, Senior Litigation Counsel, a position that involved the training of both new and veteran AUSAs on a variety of topics. Lastly, I was, for a time, the Professional Responsibility Officer, which essentially made me the point of contact for AUSAs on matters involving ethics and the Code of Professional Responsibility.

19. **Teaching:** What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

In 2017, I taught a 75-minute seminar at the annual Connecticut Judges Institute on the fundamental principles applicable to the admission of expert testimony in civil cases. Syllabus provided.

In 2008, I taught a 75-minute seminar at the annual Connecticut Judges Institute titled "Silence is Golding" which dealt with the scope and parameters of *State v. Golding*, 213 Conn. 233 (1989).

In 2013, I taught a 75-minute seminar at the annual Connecticut Judges Institute on the nature and scope of the statutorily mandated "opinion letters" which must accompany any actions sounding in medical malpractice.

20. **Deferred Income/ Future Benefits:** List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services, firm memberships, former employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business interest.

I have no anticipated income or benefits from uncompleted contracts, prior professional services, clients or business interests.

21. **Outside Commitments During Court Service:** Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service with the court? If so, explain.

No.

22. **Sources of Income:** List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items

exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

See attached Financial Disclosure Report.

23. **Statement of Net Worth:** Please complete the attached financial net worth statement in detail (add schedules as called for).

See attached Net Worth Statement.

24. **Potential Conflicts of Interest:**

- a. Identify the family members or other persons, parties, categories of litigation, and financial arrangements that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

My brother is a practicing attorney in Connecticut. If confirmed, I will not hear cases in which he has appeared.

Canon 3(C)(1)(c) of the Code of Conduct for United States Judges requires a judge to disqualify himself if the judge, the judge's spouse or minor child has a financial interest, however small, in the subject matter of the controversy or a party to the action. I am presently governed by a very similar, though not identical, provision as a Superior Court judge. As a result, I keep a current list of any investments or securities held by my husband or myself as a means of doing a conflict check when new matters are assigned to me for adjudication. I will continue this practice.

- b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

If confirmed, I will carefully review any real or potential conflicts by reference to 28 U.S.C. § 455, Canon 3 of the Code of Conduct of United States Judges, and any other laws, rules and practices governing such circumstances.

25. **Pro Bono Work:** An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional workload, to find some time to participate in serving the disadvantaged." Describe what you have done to fulfill these responsibilities, listing specific instances and the amount of time devoted to each.

As a judge, I am, for the most part, precluded from practicing law, pro bono or otherwise. As a government lawyer, my ability to provide pro bono services was fairly curtailed. I did provide pro bono representation in a housing court matter between 1988 and 1992 on a few occasions. I do not recall the specifics.

26. Selection Process:

- a. Please describe your experience in the entire judicial selection process, from beginning to end (including the circumstances which led to your nomination and the interviews in which you participated). Is there a selection commission in your jurisdiction to recommend candidates for nomination to the federal courts? If so, please include that process in your description, as well as whether the commission recommended your nomination. List the dates of all interviews or communications you had with the White House staff or the Justice Department regarding this nomination. Do not include any contacts with Federal Bureau of Investigation personnel concerning your nomination.

In May 2017, I submitted an application packet to Senators Blumenthal and Murphy for review and consideration by their advisory panel. I was interviewed by the advisory panel on June 10, 2017. Thereafter, I was notified that I was recommended for an interview with Senators Blumenthal and Murphy. I interviewed with the Senators in Washington, DC on June 29, 2017. On August 8, 2017, I was contacted by White House Counsel's Office and advised that the Senators had passed along my name for consideration. On August 22, 2017, I interviewed with attorneys from the White House Counsel's Office and the Office of Legal Policy at the Department of Justice in Washington, DC. Since October 5, 2017, I have been in contact with officials from the White House Counsel's Office and the Office of Legal Policy. On December 20, 2017, the President submitted my nomination to the Senate.

- b. Has anyone involved in the process of selecting you as a judicial nominee discussed with you any currently pending or specific case, legal issue or question in a manner that could reasonably be interpreted as seeking any express or implied assurances concerning your position on such case, issue, or question? If so, explain fully.

No.

FINANCIAL DISCLOSURE REPORT NOMINATION FILING

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) Dooley, Kari A.	2. Court or Organization District Court of Connecticut	3. Date of Report 12/22/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge	5a. Report Type (check appropriate type) ☒ Nomination Date 12/20/2017 ☐ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2016 to 12/01/2017
7. Chambers or Office Address 50 Field Street Chamber 121 Torrington, Connecticut 06790		
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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Judge of the Superior Court	State of Connecticut Judicial Department
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 11/09/04	State of Connecticut Pension Plan
2.	
3.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dooley, Kari A.

Date of Report

12/22/2017

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	State of Connecticut Judicial Department Salary I am a judge of the superior court, which is a court of general jurisdiction.	\$162,542.00
2. 2016	State of Connecticut Judicial Department Salary	\$167,634.00
3. 2015	State of Connecticut Judicial Department Salary	\$167,634.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. exempt				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dooley, Kari A.

Date of Report

12/22/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☐ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1. exempt		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dooley, Kari A.

Date of Report

12/22/2017

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Abbott Labs Stock	A	Dividend	J	T	Exempt				
2. Abbvie Stock	A	Dividend	K	T	Exempt				
3. Actua Stock		None	J	T	Exempt				
4. Alphabet Class C Stock		None	L	T	Exempt				
5. Alphabet Class A Stock		None	L	T	Exempt				
6. Altria Group Stock	A	Dividend	K	T	Exempt				
7. American Airlines Stock	A	Dividend	L	T	Exempt				
8. Amgen Stock	A	Dividend	K	T	Exempt				
9. American Electric Power Stock	A	Dividend	K	T	Exempt				
10. Apache Stock	A	Dividend	J	T	Exempt				
11. Apple Stock	A	Dividend	K	T	Exempt				
12. AT&T Stock	B	Dividend	K	T	Exempt				
13. Baxter International Stock	A	Dividend	J	T	Exempt				
14. Boeing Stock	B	Dividend	L	T	Exempt				
15. British American Tobacco ADRs	A	Dividend	J	T	Exempt				
16. California Res Corp Stock		None	J	T	Exempt				
17. Caterpillar Stock	A	Dividend	K	T	Exempt				

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dooley, Kari A.

Date of Report

12/22/2017

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. CBS Stock	A	Dividend	J	T	Exempt				
19. Centerpoint Energy Stock	A	Dividend	J	T	Exempt				
20. Chemours Stock	A	Dividend	J	T	Exempt				
21. Cisco Systems Stock	A	Dividend	K	T	Exempt				
22. Coca Cola Stock	A	Dividend	K	T	Exempt				
23. Comcast Stock	A	Dividend	K	T	Exempt				
24. Conagra Stock	A	Dividend	J	T	Exempt				
25. ConocPhillips Stock	A	Dividend	K	T	Exempt				
26. CST Brands	A	Dividend	J	T	Exempt				
27. Cummins Stock	A	Dividend	K	T	Exempt				
28. Diageo ADRs	A	Dividend	J	T	Exempt				
29. Diamondrock Hospitality Stock	A	Dividend	J	T	Exempt				
30. DowDupont Stock	B	Dividend	L	T	Exempt				
31. DXC Technology Stock	A	Dividend	J	T	Exempt				
32. Eli Lilly Stock	A	Dividend	K	T	Exempt				
33. Exelon Stock	A	Dividend	K	T	Exempt				
34. Exxon Mobil Stock	B	Dividend	K	T	Exempt				

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	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 pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

35. Facebook Stock		None	L	T	Exempt				
36. Freeport McMoran Stock		None	J	T	Exempt				
37. Frontier Communications Stock		None	J	T	Exempt				
38. G. Willi Food Stock	A	Dividend	J	T	Exempt				
39. General Eelctric Stock	A	Dividend	K	T	Exempt				
40. General Motors Stock	A	Dividend	K	T	Exempt				
41. General Dynamics Stock	A	Dividend	K	T	Exempt				
42. Gilead Stock	A	Dividend	J	T	Exempt				
43. Hewlett Packard Enterprise Stock	A	Dividend	J	T	Exempt				
44. Home Depot Stock	B	Dividend	L	T	Exempt				
45. HP Inc Stock	A	Dividend	J	T	Exempt				
46. Intel Stock	A	Dividend	K	T	Exempt				
47. IBM Stock	B	Dividend	K	T	Exempt				
48. MSCI EAFE Index I shares	A	Distribution	K	T	Exempt				
49. Russell 2000 I shares	B	Distribution	M	T	Exempt				
50. Johnson & Johnson Stock	B	Dividend	L	T	Exempt				
51. JP Morgan Cahse Stock	B	Dividend	L	T	Exempt				

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

52. Kraft Heinz Stock	A	Dividend	J	T	Exempt				
53. Lamb Weston Stock	A	Dividend	J	T	Exempt				
54. Lockheed Martin Stock	A	Dividend	K	T	Exempt				
55. Lowe's Stock	A	Dividend	K	T	Exempt				
56. Manulife Financial Stock	A	Dividend	K	T	Exempt				
57. McDonalds Stock	B	Dividend	L	T	Exempt				
58. Merck Stock	A	Dividend	K	T	Exempt				
59. Micro Focus Stock		None	J	T	Exempt				
60. Microsoft Stock	A	Dividend	K	T	Exempt				
61. Mondelez International Stock	A	Dividend	J	T	Exempt				
62. Motorola Stock	A	Dividend	J	T	Exempt				
63. Motors Liquidation Stock		None	J	T	Exempt				
64. National Grid ADRs	A	Dividend	J	T	Exempt				
65. Norfolk Southern Stock	A	Dividend	K	T	Exempt				
66. Occidental Petroleum Stock	A	Dividend	K	T	Exempt				
67. Peoples United Financial Stock	B	Dividend	K	T	Exempt				
68. Pfizer Stock	B	Dividend	K	T	Exempt				

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. Philip Morris International Stock	B	Dividend	K	T	Exempt				
70. Phillips 66	A	Dividend	J	T	Exempt				
71. PPL Corp Stock	A	Dividend	K	T	Exempt				
72. Procter & Gamble Stock	B	Dividend	K	T	Exempt				
73. Qualcomm Stock	B	Dividend	K	T	Exempt				
74. Raytheon Stock	A	Dividend	K	T	Exempt				
75. RMR Group Stock	A	Dividend	J	T	Exempt				
76. Rockwell Automation Stock	A	Dividend	K	T	Exempt				
77. Rockwell Collins Stock	A	Dividend	K	T	Exempt				
78. Royal Dutch Shell ADRs	B	Dividend	K	T	Exempt				
79. Scana Copr Stock	A	Dividend	K	T	Exempt				
80. Senior HSG PPTYS TRSBI Stock	B	Dividend	J	T	Exempt				
81. Shire PLC ADRs	A	Dividend	J	T	Exempt				
82. S&P 500 ETF	C	Distribution	M	T	Exempt				
83. Travelers Stock	A	Dividend	K	T	Exempt				
84. US Bancorp Stock	A	Dividend	K	T	Exempt				
85. Valero Energy Stock	A	Dividend	K	T	Exempt				

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

86. Verizon Stock	B	Dividend	L	T	Exempt				
87. Viacom Stock	A	Dividend	J	T	Exempt				
88. Walmart Stock	B	Dividend	K	T	Exempt				
89. Wells Fargo Stock	A	Dividend	K	T	Exempt				
90. AIG Warrants		None	J	T	Exempt				
91. Blackrock Eurofund	A	Distribution	K	T	Exempt				
92. American Century Growth Fund	C	Distribution	M	T	Exempt				
93. American Century Select Fund	C	Distribution	M	T	Exempt				
94. American Century Heritage Fund	D	Distribution	M	T	Exempt				
95. Janus Henderson Forty Fund	D	Distribution	M	T	Exempt				
96. Janus Henderson Research Fund	C	Distribution	M	T	Exempt				
97. Janus Henderson Overseas Fund	A	Distribution	L	T	Exempt				
98. MFS Value R4 Fund		None	M	T	Exempt				
99. Northern Mid Cap Index Fund		None	N	T	Exempt				
100. Northern Small Cap Index Fund		None	L	T	Exempt				
101. Wells Fargo Adv DJ Target 2025 Fund		None	L	T	Exempt				
102. William Blair International Growth Fund		None	L	T	Exempt				

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. Allianz Global Small Cap Fund	A	Distribution	K	T	Exempt				
104. MFS Global Fund	A	Distribution	K	T	Exempt				
105. Lehman Brothers (2/6/12) Bond		None	J	T	Exempt				
106. GE Cap Corp (2/15/17) Bond	A	Interest	K	T	Exempt				
107. AIG (5/18/17) Bond	A	Interest	K	T	Exempt				
108. Hospitality Prop Trust (1/15/18)	A	Interest	K	T	Exempt				
109. Hartford Financial (3/15/18) Bond	B	Interest	K	T	Exempt				
110. Ford ((/15/21) Bond	B	Interest	K	T	Exempt				
111. Goldman Sachs (1/24/22) Bond	B	Interest	K	T	Exempt				
112. Viacom (2/4/22) Bond	A	Interest	K	T	Exempt				
113. ConocoPhillips (11/15/24) Bond	A	Interest	K	T	Exempt				
114. Energy Trasnfer Partners (1/15/26) Bond	A	Interest	K	T	Exempt				
115. Ingersoll Rand (2/15/30) Bond	B	Interest	K	T	Exempt				
116. Tosco Corp (2/15/30) Bond	B	Interest	K	T	Exempt				
117. Aegon Preferred Stock	A	Dividend	J	T	Exempt				
118. FNMA Pfd Series T Preferred Stock		None	J	T	Exempt				
119. Puerto Rico Pub Bldg Auth (7/1/17) Bond	B	Interest	J	T	Exempt				

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	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 pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

120. CT ST SPL Tax Oblig Ser A (11/1/17) Bond	B	Interest	M	T	Exempt				
121. Metro DC Airports Auth (10/1/17) Bond	A	Interest	K	T	Exempt				
122. Pembroke Pines FLA (9/1/17) Bond	A	Interest	J	T	Exempt				
123. CT ST SPL Tax Oblig Ser A (8/1/25) Bond	A	Interest	J	T	Exempt				
124. CT ST SPL Tax Oblig Ser. A ((8/1/19) Bond	B	Interest	K	T	Exempt				
125. CT ST SPL Tax Oblig Ser A ((8/1/22) Bond	B	Interest	K	T	Exempt				
126. CT ST RF Ser B ((5/1/18) Bond	B	Interest	K	T	Exempt				
127. CT ST AMBAC Ser B ((6/1/17) Bond	D	Interest	L	T	Exempt				
128. Whittier CA Health Ser D (6/1/17) Bond	B	Interest	K	T	Exempt				
129. Chicago, IL City Colleges (1/1/18) Bond		None	J	T	Exempt				
130. NJ Higher Ed Assistance (6/1/18) Bond	B	Interest	K	T	Exempt				
131. Regional Sch Dist No 19 (6/15/18) Bond	A	Interest	J	T	Exempt				
132. Puerto Rico Elec Pwr Auth (7/1/18) Bond	B	Interest	J	T	Exempt				
133. Merced CA Comm Coll (8/1/18) Bond	A	Interest	K	T	Exempt				
134. Puerto Rico Pub Bldg Auth (7/1/19) Bond	B	Interest	J	T	Exempt				
135. Meriden, CT Municipal (8/1/19) Bond	B	Interest	L	T	Exempt				
136. Puerto Rico Sales Tax (8/1/19) Bond		None	J	T	Exempt				

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	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 pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)	(5) Identity of buyer/seller (if private transaction)
137. CT ST Health & Edl Facs (7/1/20) Bond	B	Interest	K	T	Exempt				
138. Puerto Rico Elec Pwr Auth (7/1/20) Bond	A	Interest	J	T	Exempt				
139. Torrance, CA School District (8/1/20) Bond	B	Interest	K	T	Exempt				
140. CT ST Health & Edl Facs (7/1/21) Bond	B	Interest	K	T	Exempt				
141. CT ST Health & Edl Facs Quin (7/1/21) Bond	A	Interest	K	T	Exempt				
142. Hartford, CT Municipal (8/15/21) Bond	A	Interest	J	T	Exempt				
143. CT ST OID Series C (11/1/21) Bond	B	Interest	K	T	Exempt				
144. El Dorado, CA School District (12/1/21) Bond		None	K	T	Exempt				
145. CT ST Health & Edl Facs (7/1/22) Bond	A	Interest	K	T	Exempt				
146. CT ST Health & Edl Facs (7/1/22) Bond	A	Interest	K	T	Exempt				
147. Phil PA Sch Dist (9/1/22) Bond	A	Interest	J	T	Exempt				
148. New Haven, CT Municipal (11/1/22) Bond	A	Interest	K	T	Exempt				
149. PA ST Pub School Bldg Auth (6/1/23) Bond	B	Interest	K	T	Exempt				
150. CT ST Health and Edl Facs (7/1/23) Bond	A	Interest	J	T	Exempt				
151. CT ST Health & Edl Facs (7/1/23)	B	Interest	K	T	Exempt				
152. CT ST Series E 20772G (8/15/23) Bond	B	Interest	K	T	Exempt				
153. New Haven, CT Municipal (3/1/24) Bond	B	Interest	K	T	Exempt				

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154. Miami-Dade City Spl Oblig (10/1/26) Bond	A	Interest	J	T	Exempt				
155. CT ST Series G (10/15/27) Bond	A	Interest	K	T	Exempt				
156. MD ST Ser A ST & Loc Facs (8/1/28) Bond	A	Interest	K	T	Exempt				
157. CT ST Spl Tax Oblig Rev (10/1/28) Bond	B	Interest	K	T	Exempt				
158. CT ST Health & Edl Facs (7/1/29) Bond	A	Interest	K	T	Exempt				
159. CT ST Spl Tax Oblig Rev (10/1/30) Bond	A	Interest	J	T	Exempt				
160. Loomis Sayles Bond Fund		None	J	T	Exempt				
161. American Century Intermediate-Term Tax Free bond Fund	C	Dividend	M	T	Exempt				
162. Eaton Vance Floating Rate Fund	A	Dividend	K	T	Exempt				
163. Vanguard European Stock Index Fund - UTMA	A	Distribution	J	T	Exempt				
164. Vanguard Total Stock Market Index Fund - UTMA	A	Distribution	K	T	Exempt				
165. Northern Large Cap Core Fund - UTMA	A	Distribution	J	T	Exempt				
166. Integrity Growth & Income Fund UTMA	A	Distribution	J	T	Exempt				
167. CT Higher Education Trust 529 Plans - age based option		None	N	T	Exempt				
168. Merrill Lynch CMA - Cash account	A	Interest	K	T	Exempt				
169. Merrill Lynch CMA - Cash account	B	Interest	O	T	Exempt				
170. CT 457 Deferred Comp Plan "BOLD" option		None	N	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dooley, Kari A.

Date of Report

12/22/2017

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

171. BNY Mellon IRA "Aggressive Growth" option	C	Distribution	M	T					
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1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dooley, Kari A.

Date of Report

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

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Name of Person Reporting	Date of Report
Dooley, Kari A.	12/22/2017

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/ **Kari A. Dooley**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		627	353	Notes payable to banks-secured (auto)			
U.S. Government securities		49	000	Notes payable to banks-unsecured			
Listed securities – see schedule	5	297	383	Notes payable to relatives			
Unlisted securities				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable – see schedule			
Real estate owned – see schedule		475	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		69	550				
Cash value-life insurance		50	454				
Other assets itemize:							
Federal Thrift Savings Plan		449	675				
State of Connecticut Pension (approx. annual income upon eligibility to receive)		75	000				
CT 457 Deferred Comp. Plan		368	955				

US DOJ pension (approx. annual income upon eligibility to receive)		13	000	Total liabilities			
BNY-Mellon IRA (In Pay Status)		119	863				
Transamerica IRA (In Pay Status)		15	007				
Allianz Annuity I		28	704	Net Worth	7	674	356
Allianz Annuity II		35	412				
Total Assets	7	674	356	Total liabilities and net worth	7	674	356
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							

FINANCIAL STATEMENT
NET WORTH SCHEDULES

Listed Securities

Abbott Labs Stock	\$11,274
Abbvie Stock	19,384
Actua Stock	93
Alphabet Class C Stock	51,071
Alphabet Class A Stock	51,809
Altria Group Stock	20,349
American Airlines Stock	50,843
Amgen Stock	35,132
American Electric Power Stock	15,526
Apache Stock	8,366
Apple Stock	34,370
AT&T Stock	31,796
Baxter International Stock	13,106
Boeing Stock	83,040
British American Tobacco ADRs	13,362
California Res Corp Stock	31
Caterpillar Stock	21,173
CBS Stock	5,606
Centerpoint Energy Stock	12,004
Chemours Stock	2,056
Cisco Systems Stock	29,840
Coca-Cola Stock	18,308
Comcast Stock	18,094
Conagra Stock	14,932

ConocoPhillips Stock	15,264
Cummins Stock	33,480
Diageo ADRs	13,847
Diamondrock Hospitality Stock	5,785
DowDupont Stock	61,598
DXC Technology Stock	2,019
Eli Lilly Stock	16,928
Exelon Stock	16,100
Exxon Mobil Stock	43,977
Facebook Stock	53,154
Freeport McMoran Stock	5,568
Frontier Communications Stock	604
G. Willi Food Stock	13,500
General Electric Stock	16,461
General Motors Stock	19,391
General Dynamics Stock	31,074
Gilead Stock	14,956
Hewlett Packard Enterprise Stock	3,529
Home Depot Stock	62,937
HP Inc Stock	5,427
Intel Stock	35,872
IBM Stock	46,191
MSCI EAFE Index - I Shares	21,033
Russell 2000 - I Shares	115,238
Johnson & Johnson Stock	55,732
J P Morgan Chase Stock	57,486

Kraft Heinz Stock	5,615
Lamb Weston Stock	7,231
Lockheed Martin Stock	31,912
Lowe's Stock	33,348
Manulife Financial Stock	16,832
McDonalds Stock	68,788
Merck Stock	22,108
Micro Focus Stock	1,139
Microsoft Stock	33,668
Mondelez International Stock	8,889
Motorola Solutions Stock	7,999
Motors Liquidation Stock	361
National Grid ADRs	11,000
Norfolk Southern Stock	27,726
Occidental Petroleum Stock	21,150
Peoples United Financial Stock	35,948
Pfizer Stock	29,008
Philip Morris International Stock	30,825
Phillips 66 Stock	14,634
PPL Corp Stock	22,002
Procter & Gamble Stock	35,096
Qualcomm Stock	33,170
Raytheon Stock	38,230
RMR Group Stock	422
Rockwell Automation Stock	38,616
Rockwell Collins Stock	26,462

Royal Dutch Shell ADRs	25,648
Scana Corp Stock	17,268
Senior HSG PPTYS TRSBI Stock	13,405
Shire PLC ADRs	4,314
S&P 500 ETF	190,277
Travelers Stock	40,671
US Bancorp Stock	33,090
Valero Energy Stock	25,686
Verizon Stock	52,010
Viacom Stock	2,832
Walmart Stock	48,615
Wells Fargo Stock	25,920
AIG Warrants	290
Blackrock Eurofund	16,383
American Century Growth Fund	119,725
American Century Select Fund	110,773
American Century Heritage Fund	186,257
Janus Henderson Forty Fund	175,887
Janus Henderson Research Fund	138,952
Janus Henderson Overseas Fund	64,185
MFS Value R4 Fund	124,917
Northern Mid Cap Index Fund	262,714
Northern Small Cap Index Fund	95,676
Wells Fargo Adv DJ Target 2025 Fund	53,804
William Blair International Growth Fund	76,154
AllianzGI Global Small Cap Fund	19,404

MFS Global Fund	19,222
Lehman Brothers (2/6/12) Bond	1,475
Hartford Financial (3/15/18) Bond	25,310
Ford (9/15/21) Bond	18,156
Goldman Sachs (1/24/22) Bond	27,792
Viacom (2/4/22) Bond	23,772
ConocoPhillips (11/15/24) Bond	25,585
Energy Transfer Partners (1/15/26) Bond	20,772
Ingersoll Rand (2/15/28) Bond	34,772
Tosco Corp (2/15/30) Bond	20,983
Aegon Preferred Stock	14,664
FNMA Pfd Series T Preferred Stock	6,030
Puerto Rico Pub Bldg Auth (7/1/17) Bond	4,950
Chicago, IL City Colleges (1/1/18) Bond	14,969
NJ Higher Ed Assistance (6/1/18) Bond	25,397
Regional Sch Dist No 19 (6/15/18) Bond	10,093
Puerto Rico Elec Pwr Auth (7/1/18) Bond	8,376
Merced, CA Comm Coll (8/1/18) Bond	15,269
Puerto Rico Pub Bldg Auth (7/1/19) Bond	6,128
Meriden, CT Municipal (8/1/19) Bond	52,753
Puerto Rico Sales Tax (8/1/19) Bond	975
CT ST Health & Edl Facs (7/1/20) Bond	26,277
Puerto Rico Elec Pwr Auth (7/1/20) Bond	3,350
Torrance, CA School District (8/1/20) Bond	42,873
CT ST Health & Edl Facs (7/1/21) Bond	25,480
CT ST Health & Edl Facs Quin (7/1/21) Bond	15,312

Hartford, CT Municipal (8/15/21) Bond	10,319
CT ST OID Series C (11/1/21) Bond	25,706
El Dorado, CA School District (12/1/21) Bond	22,819
CT ST Health & Edl Facs (7/1/22) Bond	15,312
CT ST Health & Edl Facs (7/1/22) Bond	15,312
Phil PA Sch Dist (9/1/22) Bond	10,697
New Haven, CT Municipal (11/1/22) Bond	25,395
PA ST Pub School Bldg Auth (6/1/23) Bond	28,039
CT ST Health & Edl Facs (7/1/23) Bond	10,208
CT ST Health & Edl Facs (7/1/23) Bond	15,300
CT ST Series E 20772G (8/15/23) Bond	28,285
New Haven, CT Municipal (3/1/24) Bond	25,907
Miami-Dade City Spl Oblig (10/1/26) Bond	11,890
CT ST Series G (10/15/27) Bond	15,764
MD ST Ser A ST & Loc Facs (8/1/28) Bond	25,549
CT ST Spl Tax Oblig Rev (10/1/28) Bond	27,951
CT ST Health & Edl Facs (7/1/29) Bond	16,202
CT ST Spl Tax Oblig Rev (10/1/30) Bond	5,284
Loomis Sayles Bond Fund	1,524
American Century Intermediate-Term Tax Free Bond Fund	113,786
Eaton Vance Floating Rate Fund	24,390
Vanguard European Stock Index Fund - UTMA	5,040
Vanguard Total Stock Market Index Fund - UTMA	17,302
Northern Large Cap Core Fund - UTMA	6,226
Integrity Growth & Income Fund - UTMA	6,908
CT Higher Education Trust 529 Plans	439,781

Total Listed Securities	<u>\$5,297,383.00</u>
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Real Estate Owned

Personal Residence	<u>\$475,000</u>
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Total Real Estate Owned	<u>\$475,000</u>
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AFFIDAVIT

I, Kari A. Dooley, do swear that the information provided in this statement is, to the best of my knowledge, true and accurate.

11-21-17
(DATE)

K A Dooley
(NAME)

Robin M. Mitchell
(NOTARY)
Robin m. mitchell 11-21-2017

ROBIN M. MITCHELL
NOTARY PUBLIC
MY COMMISSION EXPIRES FEB. 29, 2020