

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Conti, Joy Flowers	2. Court or Organization U.S. District Court WDPA	3. Date of Report 05/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 5250 US Courthouse 700 Grant Street Pittsburgh, PA 15219		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Counselor	W. Edward Sell American Inns of Court
2.	Ex-Officio Member	Allegheny County Bar Association Board of Governors
3.	Honorary Board Director	Catholic Charities
4.	Vice Regent	Kushkushkee Trail Chapter of the Daughters of the American Revolution
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2016	Ross, Sinclaire & Associates, LLC - Salary
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Pennsylvania Bar Association	January 26- 31, 2016	St Maarten, Netherthands Antilles	Mid-year Meeting	Lodging, Transportation, Meals
2. Sedona Conference	February 10-13, 2016	Pasadena, CA	WG9 and WG10 Mid-year Meeting	Lodging, Transportation, Meals
3. New York Intellectual Property Law Association	April 1-3, 2016	New York, NY	NYIPLA Annual Federal Judges' Dinner	Lodging, Transportation, Meals
4. Sedona Conference	April 11-14, 2016	Pasadena, CA	WG1 Mid-year Meeting	Lodging, Transportation, Meals
5. Delaware Chapter of the Federal Bar Association	May 18-19, 2016	Wilmington, DE	District of Delaware Bench & Bar Conference	Lodging, Transportation, Meals

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6.	American Bar Association	May 19-20, 2016	Chicago, IL	10th Annual National Institute on E-Discovery	Lodging, Transportation, Meals
7.	American Conference Institute	June 1-2, 2016	New York, NY	ACI Extra-Contractual & Bad Faith Liability Conference	Lodging, Transportation, Meals
8.	American Conference Institute	October 26-27, 2016	New York, NY	ACI 13th National Forum on ERISA Litigation	Lodging, Transportation, Meals
9.	Georgetown University	November 9-11, 2016	Washington, DC	Georgetown Law's 13th Annual eDiscovery Institute	Lodging, Transportation, Meals
10.	Pennsylvania Bar Association	November 13-15, 2016	Philadelphia, PA	Recipient of the 2016 PBA Business Law Section W. Edward Sell Business Award	Lodging, Transportation, Meals
11.	Sandpiper Partners, LLC	November 28-29, 2016	Chicago, IL	3rd Annual Innovation in E-Discovery Conference	Lodging, Transportation, Meals

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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.			
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.			

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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 I (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)

1. BROKERAGE ACCOUNT #1									
2. -Federated PA Muni Service (Money Market)	A	Dividend	J	T					
3. -Red Mountain Resource Inc Stock		None	J	T					
4. ROTH IRA ROLLOVER ACCOUNT #1									
5. -Pershing Government Money Market Fund	A	Dividend	K	T					
6. -Lee Street Investors LLC Class B Units		None	J	T					
7. -Prospect Cap Corp Stock	A	Dividend			Sold	01/20/16	J		
8. -New Residential Invst Corp Stock (REIT)	C	Dividend	K	T	Buy (add'l)	03/15/16	J		
9. -American Intl Group Inc Stock	A	Dividend	J	T					
10. -Bank of New York Mellon Corp Stock	A	Dividend	K	T					
11. -SPDR S&P 500 ETF Trust Units	A	Dividend	K	T	Buy (add'l)	01/20/16	J		
12. -SPDR SER TR S&p BK ETF	A	Dividend	J	T					
13. -Vanguard Intl Equity Index Fund FTSE Europe ETF	B	Dividend			Sold	12/20/16	K		
14. -JP Morgan Chase & Co Stock		None	K	T	Buy	12/20/16	K		
15. RETIREMENT PLAN #2									
16. -TIAA Traditional Annuities	D	Interest	M	T	Buy (add'l)	08/15/16	J		
17. -TC Intl Eq-Rtmt Fund					Sold	08/15/16	K	A	

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) 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)

18. -TC Small Cap Eq-Rtmt Fund					Sold	08/15/16	K		
19. -Vanguard Extended Mkt Index Fund	A	Dividend	J	T	Sold (part)	08/15/16	K	D	
20. -Vanguard REIT Index Signal Fund	A	Dividend	J	T	Sold (part)	08/15/16	J	D	
21.					Sold (part)	11/25/16	J	D	
22. -CREF Stock R2 Fund		None	L	T	Sold (part)	08/15/16	K	C	
23. -Columbia Acorn Intl Fund Z	A	Dividend			Sold	08/15/16	J	A	
24. -AF Europacific Growth Fund		None			Sold	08/15/16	J	A	
25. -CREF Money Market R2		None	L	T	Buy	08/15/16	L		
26. -TC Mid-Cap Gr Fund	A	Dividend	K	T	Buy	08/15/16	J		
27.					Buy (add'l)	11/25/16	J		
28. -Vanguard Infl Protect Sec Adm Fund	B	Dividend	K	T	Buy	08/15/16	K		
29. -American Fund Amer Mut R4 Fund	A	Dividend	J	T	Buy	08/15/16	J		
30. ROTH IRA ROLLOVER ACCOUNT #3									
31. -Pershing Government Money Market Fund	A	Dividend	J	T					
32. -Navidea Biopharmaceuticals Stock		None	J	T					
33. -Lee Street Investors LLC Class B Units		None	J	T					
34. -American Intl Group Stock	A	Dividend	K	T					

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35. -Boeing Co Stock	A	Dividend	K	T					
36. -Viasat Inc Stock		None			Sold	01/20/16	J		
37. -Federated International Leaders Fund	A	Dividend	J	T	Sold (part)	02/19/16	J		
38. -JP Morgan Value Advantage Fund	A	Dividend	K	T					
39. -JP Morgan Chase & Co Stock		None	J	T	Buy	12/20/16	J		
40. -SPDR S&P 500 ETF Trust Units	A	Dividend	K	T	Buy	01/20/16	J		
41.					Buy (add'l)	02/19/16	J		
42. IRA ROLLOVER ACCOUNT #6									
43. -S&T Bancorp Stock	A	Dividend	K	T					
44. -Janney Advantage Insured Sweep (Money Market)	A	Dividend	J	T					
45. CITIZENS BANK: ACCOUNTS		None	J	T					
46. MASSACHUSETTS MUTUAL: WHOLE LIFE POLICY		None	J	T					
47. MASSACHUSETTS MUTUAL: WHOLE LIFE POLICY		None	J	T					
48. NORTHWESTERN: WHOLE LIFE INS POLICY		None	J	T					
49. METROPOLITAN LIFE: WHOLE LIFE POLICY		None	J	T					
50. GENERAL AMERICAN: WHOLE LIFE POLICY		None	J	T					
51. MASSACHUSETTS MUTUAL: WHOLE LIFE POLICY		None	J	T					

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52. METROPOLITAN LIFE: WHOLE LIFE POLICY		None	J	T					
53. NORTHWESTERN: WHOLE LIFE INS POLICY		None	J	T					
54. HUNTINGTON BANK ACCOUNT		None	J	T					
55. SIMPLE IRA ACCOUNT #1									
56. -Pershing Government Money Market Fund	A	Dividend	J	T					
57. -American Intl Group Inc Stock	A	Dividend			Sold	05/03/16	K	C	
58. -Boeing Inc Stock	A	Dividend	K	T					
59. -Navidea Biopharmaceuticals Inc Stock		None	J	T					
60. -JP Morgan Value Advantage Fund	A	Dividend	K	T					
61. -SPDR SER TR S&P REGL BKG ETF	A	Dividend	J	T					
62. -SPDR SER TR S&P BK ETF	A	Dividend	J	T					
63. -SPDR S&P 500 ETF Trust Units	A	Dividend	J	T	Buy	01/20/16	J		
64. -Proto Labs Inc Stock		None			Buy	05/23/16	K		
65.					Sold	09/07/16	J		
66. -Facebook Inc Stock		None	J	T	Buy	09/07/16	K		
67. -JP Morgan Chase & Co Stock		None	K	T	Buy	12/20/16	K		
68. -New Residential Invst Corp Stock	B	Dividend	K	T	Buy	03/15/16	J		

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69.					Buy (add'l)	08/10/16	J		
70. BROKERAGE ACCOUNT #2									
71. -Federated PA Muni Cash (Money Market)	A	Dividend	L	T					
72. -Pa St Fin Auth Rev Rfdg Penn Hills Bond (0% due 12/1/23)		None	J	T					
73. -Cambria Cnty Pa IDA Bond (4% due 10/1/22)	B	Interest	K	T	Redeemed	10/04/16	K	B	
74. ROTH IRA ROLLOVER ACCOUNT #7									
75. -Safe-T-Shade LLC		None	K	T					
76. -Averatek Inc Stock		None	J	T					
77. -Averatek 8% Convertible Note due 4/30/22	A	Interest	J	T					
78. SEVENTH STREET INVESTMENT LP		None	K	T					
79. TAASERA INC STOCK		None	K	T					
80.									

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

Additional Information for Part VII (Investments and Trusts):

From prior years:

There is no Retirement Plan # 1

There is no IRA Rollover/Roth IRA Rollover Account # 2, 4 or 5

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Joy Flowers Conti

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