

FINANCIAL DISCLOSURE REPORT FINAL 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) Kosik, Edwin M.	2. Court or Organization U.S. District Court/M.D. Pa.	3. Date of Report 3/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2016 to 2/14/2017
7. Chambers or Office Address William J. Nealon Federal Bldg. & U.S. Courthouse North Washington and Linden Streets P.O. Box 856 Scranton, PA 18501		
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.		
2.		
3.		
4.		
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.	7/16/1986	Blue Cross/Blue Shield fully paid as part of State Retirement
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 01/12/2016	Commonwealth of Pennsylvania Retirement	\$53,298.00
2. 01/12/2017	Commonwealth of Pennsylvania Retirement	\$53,298.00
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.)*

<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.				
2.				
3.				
4.				
5.				

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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 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)
1. Pennstar Bank, Carbondale, PA (Savings)	B	Interest	L	T					
2. Penn Security Bank, Moscow, PA (Savings)	A	Interest	K	T					
3. Mutual of New York (1987) Single Premium Policy	B	Dividend	K	T					
4. First Credit Union, Scranton, PA (Savings)	B	Interest	L	T					
5. PNC Bank, Scranton, PA (Checking)	A	Interest	K	T					
6. Pennstar Bank, Carbondale, PA (Cert. Dep.)	B	Interest	L	T					
7. Cisco Systems, Inc.	A	Dividend	K	T					
8. Coca Cola Co. Delaware	A	Dividend	K	T					
9. General Electric Co.	A	Dividend	L	T					
10. Merck & Co.	A	Dividend	L	T					
11. Microsoft Corp. Washington	C	Dividend	M	T					
12. Pepsico, Inc.	A	Dividend	M	T					
13. Praxair, Inc.	A	Dividend	M	T					
14. Command Money Fund	A	Interest	J	T					
15. Prudential Financial Inc.	A	Dividend	K	T					
16. YUM Brands	A	Dividend	L	T					
17. Pfizer Inc.	A	Dividend	K	T					

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 \$5,000,000	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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18. Kinetics Mutual Fds. Paradigm Fund (KNPYX)	A	Dividend	J	T					
19. Pimco All Asset Fund (PAAIX)	B	Dividend	J	T					
20. Wells Fargo Advantage Asset Allocation Fund (EAAIX)	A	Dividend	K	T					
21. Ivy Fds. Inc. Asset Strategy (IVAEX)	B	Dividend			Sold	08/23/16	K	B	
22. Blackrock Fds. II Netixis ASG Managed Futures (ASFYX)	A	Dividend	J	T					
23. Blackrock Global Asset Allocation (MALOX)	A	Dividend	K	T					
24. First Eagle Global Fund (SGHX)	A	Dividend	K	T					
25. Goldman Sachs Dynamic Allocation Fund (GDIFX)	A	Interest	J	T					
26. Royal Dutch Shell A (RDS.A)	A	Dividend	K	T					
27. Goldman Sachs MLP Energy Infrastructure (GMLPX)	C	Distribution	L	T					
28. Guggenheim MLP Energy Fund	B	Dividend	L	T					
29. Guggenheim National Municipal Portfolio	D	Dividend	N	T	Buy	01/26/17	N		

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

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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/ **Edwin M. Kosik**

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
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