

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Fallon, Sherry R.	2. Court or Organization District of Delaware	3. Date of Report 05/03/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address J. Caleb Boggs Federal Building 844 N. King Street Unit 14, Room 6100 Wilmington, DE 19801-3555		
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.		
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Self-Employed Attorney
2. 2018	Newark Properties, LLC (rental income from property owned by Law Firm)
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. NYIPLA	March 23 - March 24, 2018	New York, New York	96th Annual Dinner Honoring the Federal Judiciary	Hotel accommodations, meals and transportation
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.	American Express	Credit Card	J
2.		Tuition	K
3.	PNC Bank	Credit Card	J
4.			
5.	AAA Visa	Credit Card	J

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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. Southern Company Common Stock	B	Dividend	K	T					
2. McDonalds Common Stock (Y)									
3. Fidelity 529 Plan - Delaware Portfolio 2012 (Y)									
4. Fidelity 529 Plan - Delaware Portfolio 2018	A	Dividend	M	T					
5. Empower Retirement Tybout Redfearn & Pell 401(k) Plan-									
6. -American Funds Growth Fund of America A	A	Dividend	N	T					
7. -American Funds American Balanced Fund A	A	Dividend	M	T					
8. -American Funds Euro-Pacific Growth Fund A	A	Dividend	M	T					
9. -American Funds SMALLCAP World Fund A	A	Dividend	M	T					
10. Franklin Templeton - Templeton Growth Fund Class A	A	Dividend	J	T					
11. New York Life Whole Life Insurance Policy	B	Dividend	L	T					
12. Lincoln National Life Insurance - Universal Life Policy	A	Interest	J	T					
13. PNC - Accounts	A	Interest	L	T					
14. U. S. Savings Bonds	A	Interest	J	T					
15.									
16.									
17. IRA -									

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. -Vanguard International Growth	A	Dividend	L	T					
19. -Vanguard International Value	A	Dividend	L	T					
20. -Vanguard Explorer	A	Dividend	K	T					
21. -Vanguard U.S. Growth	A	Dividend	K	T					
22. -Vanguard Long Term Investment Growth	A	Interest	K	T					
23. -Vanguard Morgan Growth	A	Dividend	L	T					
24. -Vanguard Small Cap Value Index	A	Dividend	K	T					
25. -Vanguard Target Retirement 2035	A	Dividend	M	T					
26. -Vanguard Total Stock Market Index	A	Dividend	M	T					
27. -Vanguard Windsor	A	Dividend	K	T					
28. -Vanguard Windsor II	A	Dividend	L	T					
29. Mass Mutual 401(k) (Y) -									
30. -Select Total Return Bond MetWest (Y)					Merged (with line 46)	11/30/18	M		
31. -Washington Mutual Investments (formerly Comstock) (Y)					Merged (with line 47)	11/30/18	M		
32. -Comstock(Invesco)(Y) now known as Washington Mutual Invest(Y)									
33. -Growth America(American) formerly Select Equity (Y) (Wellington ITRP)					Merged (with line 48)	11/30/18	M		
34. -Select Growth Opportunities (Sands/JSP) (Y)					Merged (with line 48)	11/30/18	M		

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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	
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35. -American Balanced Fund (Y)					Merged (with line 49)	11/30/18	M		
36. -Special Mid-Cap Value Wells Fargo(Y)					Merged (with line 50)	11/30/18	M		
37. -Invesco Mid-Cap Core Equity (Y) now known as Special Mid-Cap Value We									
38. -TRP/Frontier Select Mid-Cap Growth II (Y)					Merged (with line 51)	11/30/18	L		
39. -William Blair Small Cap Growth (Y)					Merged (with line 52)	11/30/18	M		
40. -American Euro-Pacific Growth (Y)					Merged (with line 53)	11/30/18	M		
41. Wells Fargo - Accounts	A	Interest	J	T					
42. Capitol One - Account	A	Interest	J	T					
43. WSFS - Accounts	A	Interest	K	T					
44. HSA Bank - Account	A	Interest	J	T					
45. Vanguard 401(K) (X) -									
46. -Dodge & Cox Income (X)	A	Interest	M	T					
47. -Washington Mutual Investments (American) (X)	A	Interest	M	T					
48. -American Fund Growth Fund of America (X)	A	Interest	N	T					
49. -American Balanced Fund (X)	A	Interest	M	T					
50. -Fidelity Low Priced Stock (X)	A	Interest	M	T					
51. -Dreyfus Boston Co. S/M CG (X)	A	Interest	L	T					

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52. -Nationwide Ge SmCap Grw (X)	A	Interest	M	T					
53. -MFS Int'l Diversification R4 (X)	A	Interest	M	T					

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

Part III. B. Spouse's Non-Investment Income - Line 2. Newark Properties, LLC (rental income from property owned by Law Firm) : This asset was not owned by my [REDACTED], individually, it is owned by his law firm and the asset was dissolved by the Law Firm on or about December 31, 2017, therefore, it is no longer reportable.

Part VI. Liabilities. Line 4. [REDACTED]
[REDACTED] is no longer a reportable liability.

Part VII. Investments.

Line 2. McDonalds Common Stock - This is an asset held by a [REDACTED] who is no longer a dependent due to [REDACTED] graduation and employment.

Line 3. Fidelity 529 Plan - Delaware Portfolio 2012 - The last tuition payments made from this college savings fund [REDACTED] were made on 7/20/17 and 11/28/17, thus completely exhausting the fund as [REDACTED].

Line 29. Mass Mutual 401 (K) - Effective November 30, 2018, [REDACTED] law firm switched its 401(K) broker from Mass Mutual to Vanguard (Line 45). The total amount of funds in the Mass Mutual 401(K) were directly rolled over into the Vanguard 401(K) in a non-taxable event for [REDACTED] me as we have not received any distributions, nor withdrawn or borrowed against any funds managed by either broker. I have made reasonable efforts, based on information provided by [REDACTED], to which I have no individual access, to attempt to connect which Mass Mutual 401(K) funds were directly rolled over into Vanguard 401(K) Funds as follows:

Line 30. Select Total Return Bond Met West was directly rolled over into Dodge & Cox Income (Line 46);

Line 31. Washington Mutual Investments was directly rolled over into Washington Mutual Investments (Line 47);

Line 33. Growth America was directly rolled over into American Fund: Growth Fund of America (Line 48);

Line 34. Select Growth Opportunities (Sands/JSP) was directly rolled over into American Fund: Growth Fund of America (Line 48);

Line 35. American Balanced Fund was directly rolled over into American Balanced Fund (Line 49);

Line 36. Special Mid-Cap Value Wells Fargo was directly rolled over into Fidelity Low Priced Stock (Line 50);

Line 38. TRP/Frontier Select Mid-Cap Growth II was directly rolled over into Dreyfus Boston Co. S/M CG (Line 51);

Line 39. William Blair Small Cap Growth was directly rolled over into Nationwide Ge Sm Cap Grw (Line 52);

Line 40. American EuroPacific Growth was directly rolled over into MFS Int'l Diversification (Line 53).

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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/ Sherry R. Fallon**

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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