

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) Falk, Mark	2. Court or Organization United States District Court - New Jersey	3. Date of Report 08/08/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 United States Magistrate Judge, District of New Jersey United States Post Office & Courthouse One Federal Square, Rm 457 Newark, New Jersey 07101-0999		
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.	Co-Executor	Estate #1
2.	Trustee	Trust #1
3.	Co-Trustee	Living Trust 2
4.	Co-Trustee	GST Trust #4
5.	Co-Trustee	GST Trust #5
6.	Vice President	Federal Magistrate Judges Association
7.	President-Elect	Federal Magistrate Judges Association
8.	Adjunct Professor	Rutgers School of Law
9.	Adjunct Professor	Fordham Law School

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 15

Name of Person Reporting	Date of Report
Falk, Mark	08/08/2019

3. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

Falk, Mark

Date of Report

08/08/2019

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. 2018	Fordham Law School-teaching	\$2,500.00
2. 2018	Rutgers Law School-teaching	\$1,710.00
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. 2018	Self-employed (court stenography)
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.	Federal Magistrate Judges Association	09/24/18 - 09/26/18	Washington, DC	Executive Board Meetings	Transportation, Lodging
2.	Federal Magistrate Judges Association	03/19/18 - 03/21/18	Washington, DC	Executive Board Meetings	Transportation, Lodging
3.					
4.					
5.					

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

Name of Person Reporting

Falk, Mark

Date of Report

08/08/2019

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

Name of Person Reporting

Falk, Mark

Date of Report

08/08/2019

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. Trust #1 (H)									
2. Fidelity Ginnie Mae Fund	A	Dividend	J	T					
3. Fidelity N.J. Muni Money Market Fund	A	Dividend	K	T					
4. Fidelity Floating Rate	A	Dividend	J	T					
5. Fidelity Cash Reserves	A	Dividend	L	T					
6. IRA #1 (H)									
7. -MS U.S. Govt. Securities Trust B	B	Int./Div.	L	T					
8. IRA #2 (H)									
9. -Rydex Invers. Govt Long Bond	A	Interest	J	T					
10. -Vanguard Short Term Investors	A	Dividend	K	T					
11. -Vanguard Fixed Income High Yield	B	Dividend	K	T					
12. -Vanguard Div. App. Index	B	Dividend	K	T					
13. -Vanguard Value Index	A	Dividend	K	T					
14. -Ishares Russell Midcap Value Index	A	Dividend	K	T					
15. -Ishares Russell 1000 Value Index	A	Dividend	K	T					
16. -Fidelity Convertible Securities Fund	B	Dividend	K	T					
17. -Nasdaq 100 Trust Unit Stock	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 \$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

Page 6 of 15

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18. -Fidelity Overseas Mutual Fund	A	Dividend	K	T					
19. -Fidelity Puritan Mutual Fund	A	Dividend	J	T					
20. -Fidelity Blue Chip Growth Mutual Fund	A	Dividend	J	T					
21. -Fidelity Cash Reserves	C	Interest	N	T					
22. -Fidelity US Bond Index	A	Dividend	K	T					
23. -Fidelity Ext. MKT Index Premium Class	A	Dividend	J	T					
24. -Fidelity Intl. Index Premium Class	A	Dividend	K	T					
25. -Fidelity Intl. Treasury Bond Index	A	Dividend	J	T					
26. -Fidelity 500 Index Premium Class	A	Dividend	J	T					
27. -Vanguard Inflation Protected SECs	A	Dividend	K	T					
28. -Vanguard Small Cap Value Index	A	Dividend	K	T					
29. -Fidelity Magellan Mutual Fund	A	Dividend	J	T					
30. -Fidelity Ginnie Mae Fund	A	Dividend	J	T					
31. -Fidelity Growth & Income Mutual Fund	A	Dividend	J	T					
32. -Fidelity Intermediate Bond Mutual Fund	A	Dividend	J	T					
33. -Fidelity Govt. Money Market*	A	Interest	J	T					
34. -Fidelity Short Term Bond	A	Dividend	J	T					

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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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FINANCIAL DISCLOSURE REPORT

Page 7 of 15

Name of Person Reporting

Falk, Mark

Date of Report

08/08/2019

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35. -Vanguard Wellesley Inc.	A	Dividend	K	T					
36. -Doubleline Bond Fund	B	Dividend	K	T					
37. -Ishares Silver	A	Interest	J	T					
38. -Ishares China ETF	A	Dividend	K	T					
39. -Pro Shares Short Dow	A	Dividend	K	T					
40. -Pro Shares Ultrashort SC600	A	Dividend	J	T					
41. -Pro Shares Ultra Short Cap	A	Dividend	J	T					
42. -Pro Shares SHort S&P 500	A	Dividend	K	T					
43. -Pro Shares Short QQQ	A	Dividend	J	T					
44. -Fidelity Floating Rate High Income	C	Dividend	L	T					
45. IRA #3 (H)									
46. -Vanguard Total Stock Market Index Mutual Fund	B	Dividend	M	T	Sold (part)	02/09/18	K	B	
47.					Sold (part)	02/13/18	K	B	
48.					Sold (part)	02/09/18	J	A	
49.					Buy	02/13/18	K		
50. Alcoa Common Stock	A	Dividend	J	T					
51. Coca Cola Common Stock	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 15

Name of Person Reporting

Falk, Mark

Date of Report

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52. Brokerage Account #1 (H)									
53. -Morgan Stanley Tax Free Daily Income Trust	A	Interest	J	T					
54. -Morgan Stanley Bank	A	Interest	J	T					
55. -PIMCO Short Term P	B	Dividend	L	T	Buy	04/10/18	J		
56. -Western Ast Int Term Muni I	C	Dividend	L	T	Buy	04/10/18	J		
57.					Sold (part)	09/28/18	L	B	
58. -Wells Fargo St Muni Bd INS	B	Dividend	L	T					
59. -SPDR Nuveen Barclays Mun ETF	A	Dividend	K	T	Buy	04/10/18	J		
60. -SPDR Nuveen Barclays Short ETF	A	Dividend	K	T					
61. -ISHARES Russell 1000 GRW ETF	A	Dividend	J	T					
62. -Deutsche X-Trackers MSCI EAF	A	Dividend							
63. -E V Income Fund of Boston I	B	Dividend	K	T					
64. -Cambiar INTL Equity INV	A	Dividend	J	T	Sold (part)	04/10/18	J	A	
65.					Sold (part)	06/15/18	J	A	
66. -ISHARES Russell 1000 Value ETF	A	Dividend	J	T	Buy	06/15/18	J		
67. -PIMCO Foreign BD US \$ Hedged P	A	Dividend	J	T	Sold (part)	04/06/18	J	A	
68. -Wells Fargo Emerg Mrk EQ Inc.	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 15

Name of Person Reporting

Falk, Mark

Date of Report

08/08/2019

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69. -Delaware Value INSTL	A	Dividend	J	T					
70. -ISHARES RUSSELL 2000 Growth ETF	A	Dividend							
71. -Wells Fargo Special MDCP VL AD	A	Dividend	J	T					
72. -Hartford Midcap I	A	Dividend	J	T	Sold (part)	04/10/18	J	A	
73. -ISHARES RUSSELL Midcap V ETF	A	Dividend							
74. -ISHARES RUSSELL Midcap G ETF	A	Dividend							
75. -Delware Inv Sm Cap Val INST	A	Dividend	J	T	Sold (part)	06/15/18	J	A	
76. -Edgewood Growth Instl	A	Dividend	J	T	Sold (part)	06/19/18	J	A	
77. -Harding Loevner Intl EQTY INSTL	A	Dividend	J	T	Sold (part)	04/10/18	J	A	
78. -T. Rowe Price QM US	A	Dividend	J	T	Sold (part)	04/06/18	J	A	
79.					Buy	06/19/18	J		
80. -Wisdom Tree Jap	A	Dividend	J	T	Sold (part)	01/12/18	J	A	
81. -ISHARES MSCI Japan ()	A	Dividend	J	T					
82. -Goldman Sachs Emeg	A	Dividend	J	T	Sold (part)	04/06/18	J	A	
83. -Loomis Growth Y	A	Dividend	J	T					
84. -Oakmark International	A	Dividend	J	T	Sold (part)	04/10/18	J	A	
85.					Sold (part)	12/31/18	J	A	

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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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FINANCIAL DISCLOSURE REPORT

Page 10 of 15

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86.					Buy	06/15/18	J		
87. -Matthews Asian Japan	A	Dividend	J	T					
88. -Blackrock Nat Mun (H)	A	Int./Div.	L	T	Buy	09/28/18	L		
89. IRA #4-Nassau Re*	A	Int./Div.	J	T					
90. -Virtus Capital Growth	A	Int./Div.	J	T					
91. -Virtus Strat Alloc	A	Int./Div.	J	T					
92. -Virtus International	A	Int./Div.	J	T					
93. -Wanger USA	A	Int./Div.	J	T					
94. -Wagner International	A	Int./Div.	J	T					
95. -Federated Prime Money Market	A	Int./Div.	J	T					
96. SEP Account 1 (H)									
97. -Vanguard Total Stock Market Index Mutual Fund	E	Dividend	O	T	Sold (part)	05/24/18	N	B	
98. -Vanguard Prime Money Market Fund	C	Interest	N	T	Buy	05/24/18	N		
99.					Buy	01/17/18	J		
100. Wells Fargo Cash Account 1	B	Interest	L	T					
101. Wells Fargo Cash Account 2	B	Interest	N	T					
102. Wells Fargo Cash Account 3	A	Interest	J	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
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FINANCIAL DISCLOSURE REPORT

Page 11 of 15

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103. Bank of America Cash Account 1	A	Interest	J	T					
104. Amboy Bank Cash Account	A	Interest	J	T					
105. Investment Account #2 (H)									
106. -Fidelity NJ Muni Money Market	A	Dividend	J	T					
107. -Fidelity Floating Rate	A	Dividend	J	T					
108. -Fidelity GNMA Fund	A	Dividend	J	T					
109. -Fidelity Cash Reserve	A	Dividend	K	T					
110. -Fidelity Convertible Securities	B	Dividend	K	T					
111. -iShares Core S&PETF					Buy	11/28/18	M		
112.					Sold	12/20/18	M	A	
113. Bank of America Cash Account 2	A	Interest	J	T					
114. Bank of America Cash Account 3	A	Interest	J	T					
115. Bank of America Cash Account 4	B	Interest	L	T					
116. Santander Cash Account	A	Interest	J	T					
117. Investment Account #3 (H)									
118. -Vanguard Growth & Income	B	Dividend	K	T					
119. -Vanguard Healthcare	B	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 \$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

Page 12 of 15

Name of Person Reporting

Falk, Mark

Date of Report

08/08/2019

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)
120. -Vanguard Inter-Tax Exempt	A	Dividend	J	T					
121. -Vanguard Prime Mkt Fund	B	Dividend	M	T					
122. -Vanguard Total Stk Mk.	A	Dividend	J	T					
123. -Vanguard 500 Index	B	Dividend	K	T					
124. Investment Account #4 (H)									
125. -Charles Schwab Money Market	B	Interest	L	T					
126. -Fidelity NY Muni Income	A	Dividend	K	T					
127. -Charles Schwab US Ri	A	Dividend	J	T					
128. -Powershares S&P	A	Dividend	J	T					
129. -Schwab International	A	Dividend	J	T					
130. Investment Account #5 (H)									
131. -Charles Schwab Money Market	A	Interest	L	T					
132. -Osterweis Strategic	A	Dividend	J	T					
133. -Eastman Chemical	A	Dividend	J	T					
134. -USAA Tax Exempt	A	Dividend	J	T					
135. Trust #4 (H)									
136. -Morgan Stanley	B	Interest	J	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 \$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

Page 13 of 15

Name of Person Reporting

Falk, Mark

Date of Report

08/08/2019

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. -America Fund C	A	Dividend	K	T	Buy	05/31/18	L		
138. -American Fundamental Inve	B	Dividend	K	T	Buy	05/31/18	L		
139. -American Cap Inc Builder C	B	Dividend	L	T	Buy	05/31/18	L		
140. -American AmCap C	A	Dividend	J	T	Buy	05/31/18	K		
141. -Blackrock Strat Inc Opp C	B	Dividend	J	T	Buy	05/31/18	L		
142. -Chase Checking (X)	A	Interest	J	T					
143. Estate #1 (H)									
144. -Chase Checking (X)	A	Interest	J	T					
145. Trust #5 (H)									
146. -Chase Checking	A	Interest	L	T					
147. -Chase Savings	A	Interest	K	T					
148. Relative Power of Attorney (H)									
149. -Chase Checking					Closed	12/08/18	K		
150. -ISHARES RUSSELL 2000 Value ETF	A	Dividend	J	T	Open	06/28/18	J		
151. -Investors Bank	B	Interest	L	T	Open	06/28/18	L		
152. -M&T Cash Acc	A	Interest	J	T	Open	05/19/18	J		

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

Page 14 of 15

Name of Person Reporting

Falk, Mark

Date of Report

08/08/2019

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

*This was reported as Phoenix last year. Though no changes, it was reported as "Nassau Re" apparently a name change, with no change by investor.

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Falk, Mark

Date of Report

08/08/2019

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/ Mark Falk**

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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Washington, D.C. 20544