

FINANCIAL DISCLOSURE REPORT INITIAL 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) Mazzone, James P.	2. Court or Organization U.S. District Court, West Virginia Northern District	3. Date of Report 01/08/2020
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 01/01/2017 to 02/28/2019
7. Chambers or Office Address United States District Court for the Northern District of West Virginia 1125 Chapline Street Wheeling WV 26003		
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. Treasurer (1/1/18-9/3/18)	WV Judicial Association
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. 2001	State of WV: Judicial Pension *
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. 2016	State of WV - Circuit Judge	\$122,638.00
2. 2017	State of WV - Circuit Judge	\$121,673.00
3. 2018	State of WV - Circuit Judge	\$87,641.00
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. 2016	Brooke County Board of Education - Executive Administrative Assistant
2. 2017	Brooke County Board of Education - Executive Administrative Assistant
3. 2018	Brooke County Board of Education - Executive Administrative Assistant
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.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Mastercard	Credit Card	K
2.	VISA	Credit Card	J
3.	Citi Bank	Credit Card	J
4.	Capitol One	Credit Card	J
5.	Bank of America	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. Smart 529 WV Prepaid Tuition Plan	B	Interest	J	T	Exempt				
2. JP Morgan Cash Account	A	Interest	J	T	Exempt				
3. JP Morgan IRA Deposit Sweep Money Market Fund	A	Interest	K	T	Exempt				
4. Investment Managers Service	A	Dividend	K	T	Exempt				
5. JP Morgan Fleming Mutual Fund	A	Dividend	J	T	Exempt				
6. JP Morgan TR 1 - Equity	B	Dividend	K	T	Exempt				
7. JP Morgan TR 1 - Equity Inc	A	Dividend	K	T	Exempt				
8. MFS Ser TR 1	A	Dividend	K	T	Exempt				
9. Rowe T Price Blue Chip	B	Dividend	K	T	Exempt				
10. Select Sector Spdr Fund	A	Dividend	J	T	Exempt				
11. Select Sector Spdr Trust	A	Dividend	K	T	Exempt				
12. Tributary FDS Inc	A	Dividend	J	T	Exempt				
13. Vanguard Specialized	A	Dividend	J	T	Exempt				
14. Vanguard World Fund	A	Dividend	J	T	Exempt				
15. Doubleline FDS TR	A	Dividend	K	T	Exempt				
16. JP Morgan TR II	A	Dividend	L	T	Exempt				
17. Mainstay FDS/TR	B	Dividend	K	T	Exempt				

18. Pimco Total Return

B

Dividend

K

T

Exempt

19. Pimco Income Fund

C

Dividend

L

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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

CONTINUATION OF PART II - AGREEMENTS

Filer ceased making any financial contributions to plan on 9/3/18. Filer is not eligible to receive any benefits until after 11/6/27

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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/ **James P. Mazzone**

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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